

**Operation and Maintenance of the
Application and Eligibility Determination
System (AEDS)
PERFORMANCE WORK STATEMENT (PWS)**

Department of Education
Federal Student Aid

August 05, 2014

“Note: As-Is Requirements mentioned in PWS will be provided in Phase 2)”

Table of Contents

<u>1</u>	<u>INTRODUCTION</u>	<u>5</u>
<u>2</u>	<u>BACKGROUND</u>	<u>5</u>
<u>3</u>	<u>SCOPE</u>	<u>6</u>
<u>4</u>	<u>APPLICABLE DIRECTIVES</u>	<u>7</u>
<u>5</u>	<u>PERFORMANCE REQUIREMENTS</u>	<u>8</u>
5.1	PROJECT MANAGEMENT	8
5.1.1	PROJECT MANAGEMENT PLAN (PMP)	8
5.1.2	LIFECYCLE MANAGEMENT METHODOLOGY (LMM)	9
5.2	ANNUAL DEVELOPMENT	9
5.2.1	SYSTEM AND SOFTWARE DEVELOPMENT	9
5.2.2	FAFSA FORMS DEVELOPMENT	11
5.2.3	USABILITY TESTING	13
5.2.4	USER ACCEPTANCE TESTING	13
5.2.5	TRAINING	13
5.3	OPERATIONS AND MAINTENANCE	13
5.3.1	PRODUCTION AND IT MAINTENANCE SUPPORT	13
5.3.2	MANAGEMENT OF VOLUME PEAKS	15
5.3.3	PARTICIPATION MANAGEMENT (PM) SUPPORT	15
5.3.4	IMAGE DATA CAPTURE (IDC)	15
5.3.5	EMAIL PROCESSING	16
5.3.6	PRINTING AND MAILING	17
5.3.7	STATISTICAL ANALYSIS SUPPORT	17
5.3.8	OPERATION OF THE CPS/SAIG TECHNICAL HELP DESK	19
5.3.9	CONFERENCE SUPPORT	21
5.3.10	ANCILLARY SERVICES	21
5.3.11	COOPERATION WITH MULTIPLE AGENCIES/CONTRACTORS	24
5.3.12	TECHNOLOGY EVERGREENING	24
5.3.13	DOCUMENTATION	24
5.3.14	STATUS REPORTING	25
5.4	SPECIAL PROJECTS/INITIATIVES SUPPORT	25
		2

5.4.1	SUPPORTING PROJECT TO IMPROVE ACCURACY OF STUDENT DATA	25
5.5	TRANSITION PLANNING	27
5.5.1	PHASE-IN PERIOD	27
5.5.2	PHASE-OUT PERIOD	27
5.5.3	PHASE-OUT PLAN	28
5.6	IT CONTINGENCY PLANNING & CONTINUOUS SECURITY AUTHORIZATION SUPPORT	28
5.6.1	CONTINGENCY PLANNING	28
5.6.2	DISASTER RECOVERY TESTING SUPPORT AND PARTICIPATION	29
5.6.3	CONTINUOUS SECURITY AUTHORIZATION	29
5.7	CHANGE MANAGEMENT	30
6	GENERAL REQUIREMENTS	31
6.1	PERIOD OF PERFORMANCE	31
6.2	TYPE OF CONTRACT	31
6.3	PLACE OF PERFORMANCE	31
6.4	CONTRACTING OFFICER REPRESENTATIVE (COR)	32
6.5	QUALITY CONTROL	32
6.6	QUALITY ASSURANCE	33
6.7	SECURITY REQUIREMENTS	33
6.7.1	PHYSICAL SECURITY	33
6.7.2	IDENTIFICATION OF CONTRACTOR EMPLOYEES	33
6.8	DATA RIGHTS	33
6.9	ORGANIZATIONAL CONFLICT OF INTEREST	34
6.10	CONTRACTOR PERSONNEL	34
6.10.1	PERSONNEL PLAN	35
6.10.2	CONTRACTOR EMPLOYEE REPORT	35
6.10.3	CERTIFICATIONS	35
6.10.4	CONTRACTOR TRAVEL	35
6.10.5	OTHER DIRECT COSTS	36
6.11	POST AWARD CONFERENCE/PERIODIC PROGRESS MEETINGS	36
6.12	INSPECTION AND ACCEPTANCE	36
6.12.1	SCOPE OF INSPECTION	36
6.12.2	BASIS OF ACCEPTANCE	36
6.12.3	WRITTEN ACCEPTANCE/REJECTION BY THE GOVERNMENT	37

6.12.4	NON-CONFORMING PRODUCTS OR SERVICES	37
<u>7</u>	<u>KEY PERSONNEL</u>	<u>38</u>
7.1	PROGRAM MANAGER	38
7.2	PROJECT MANAGER	38
7.3	OPERATIONS LEAD	39
7.4	SYSTEMS ARCHITECT/ENGINEERING LEAD	39
7.5	QUALITY CONTROL MANAGER	39
<u>8</u>	<u>GOVERNMENT FURNISHED PROPERTY/EQUIPMENT/INFORMATION</u>	<u>40</u>
<u>9</u>	<u>CONTRACTOR FURNISHED PROPERTY AND EQUIPMENT</u>	<u>40</u>
<u>10</u>	<u>ATTACHMENT / TECHNICAL EXHIBIT LISTING</u>	<u>41</u>
10.1	ATTACHMENT 1: AEDS AS-IS REQUIREMENTS	41
10.2	ATTACHMENT 2: DELIVERABLES	41
10.2.1	PROJECT MANAGEMENT DELIVERABLES	41
10.2.2	STATUS REPORTS	41
10.2.3	SYSTEM AND USER DOCUMENTATION	43
10.3	ATTACHMENT 3: AEDS SLAS/KPIs	49
10.4	ATTACHMENT 4: DISINCENTIVES	52
10.5	ATTACHMENT 5: ESTIMATED WORKLOAD DATA	ERROR! BOOKMARK NOT DEFINED.
10.6	ATTACHMENT 6: CPS/SAIG CUSTOMER SATISFACTION SURVEYS	54
10.7	ATTACHMENT 7: ACRONYMS & DEFINITIONS	55
10.7.1	ACRONYMS	55
10.7.2	DEFINITIONS	58

1 Introduction

This Performance Work Statement (PWS) describes the functions, processes, and performance requirements for the Operations and Maintenance (O&M) of the Application and Eligibility Determination System (AEDS). The Application and Eligibility Determination System (AEDS) supports FSA's core business objective of accepting and processing the Free Application for Federal Student Aid (FAFSA) from current and potential post-secondary school students.

The purpose of this PWS is to ensure continuing, comprehensive, and effective maintenance and operation of the AEDS and to support the annual development, system rollover, and requested enhancements for all components comprising the AEDS. The contract resulting from this solicitation will establish a performance-based business arrangement in support of maintaining an efficient, effective, and responsive IT platform to host and support the AEDS' operations.

2 Background

AEDS consists of the systems, processes, and operations that support the FSA Aid Delivery Lifecycle functions including:

- ❖ **Authorization** supports access management to FSA systems through the Student Aid Internet Gateway (SAIG) for schools, states, third-party servicers, and Guarantee Agencies. Authorization of these entities is performed by the Participation Management (PM) system.
- ❖ **Application Submission** enables submission of a student application for federal student aid via multiple supported channels, including FAFSA on the Web (FOTW) for web applicants, FAA Access to CPS Online for school Financial Aid Administrators (FAAs), Image Data Capture (IDC) for paper applicants, and school third-party software applications interfacing to AEDS through Electronic Data Exchange (EDE).
- ❖ **Eligibility Determination** processes applications received via the various inbound channels. This is accomplished by the Central Processing System (CPS), which ensures that all applications are evaluated for eligibility based on predefined criteria and eligibility rules.
- ❖ **Results Distribution** supports transmission of results of application processing to applicants, schools, and other authorized users utilizing various channels including Printing and Mailing reports and Email processing notifications to applicants, as well as sending out processing reports to schools electronically through the EDE interface.
- ❖ **Systems Administration and Management** provides administrative support of AEDS systems, websites, and databases and enables configuration management of the AEDS operating environment in response to emerging problems or requested modifications.
- ❖ **Business Intelligence** provides a suite of tools for statistical analysis and business intelligence for management and operational reporting to FSA and other stakeholders on various aspects of the Federal Student Aid program.
- ❖ **Technical Help Desk** fulfills FSA's need to provide technical support to users of the Central Processing System (CPS), the Student Aid Internet Gateway (SAIG), and other

AEDS systems regarding Federal Student Aid application data, system data and functionality, and any technical issues.

- ❖ **Conference Support** fulfills FSA's conference participation needs such as presentations development and conference staffing.
- ❖ **School Tools and Ancillary Services** constitutes School Tools currently provided and supported by FSA (including EDExpress, DL Tools, and FSADownload) and Ancillary Services for the storage and management of Master Promissory Notes (MPNs), an integral part of the loan origination and disbursement process.

The following three services are closely related to the scope of operations of AEDS but will be operated and maintained under other contracts outside of this AEDS O&M contract:

- ❖ **Authentication** of applicants and parents of dependent applicants for electronic application submission and/or signature.
- ❖ **Federal Student Aid Information Center (FSAIC)** supports FSA's requirement for a government-to-citizen customer contact center providing information to the general public regarding the FSA application process.
- ❖ **Editorial Services** provides written and electronic responses to inquiries received from applicants and/or the general public about the Federal Student Aid program and application process.

Attachment 1: AEDS As-Is Requirements describes the high-level business requirements of the As-Is AEDS solution, and its constituent functions listed above, which shall be operated and maintained under this contract.

3 Scope

The Contractor shall provide all personnel, equipment, supplies, facilities, transportation, tools, materials, supervision, and other items and non-personal services necessary to perform the AEDS Operations and Maintenance support as defined in this Performance Work Statement, except as specified in **Section 8** (Government Furnished Property/Equipment/Information). The Contractor shall provide engineers, technicians, software developers, and specialists on-site and on-call to administer AEDS IT products and shall perform to the standards set in this PWS. The Contractor shall integrate any technology changes and upgrades as approved by the Contracting Officer to meet user requirements and to maintain operational currency of the AEDS IT products and systems.

The Contractor shall attend program meetings such as status meetings, Project Control Boards, program reviews, Configuration Control Boards (CCB), and other sustainment activities. The Contractor shall be prepared to answer questions pertaining to the O&M of the AEDS solution as well as present the results of completed research to the Contracting Officer Representative (COR).

The Contractor shall provide services consistent with the existing AEDS solution (as described in **Attachment 1: AEDS As-Is Requirements**) as well as the performance and general requirements stated in this PWS. The performance requirements are identified in seven (7) main areas shown in the table below. Detailed descriptions of those areas are available in **Section 5: Performance Requirements**.

The solution shall provide the following services:

Performance Area	PWS Section
Project Management	5.1
Annual Development	5.2
Operation and Maintenance	5.3
Special Projects	5.4
Transition Planning	5.5
IT Contingency Planning and Continuous Security Authorization Support	5.6
Configuration Management	5.7

The services shall ensure all operations, maintenance, system security, disaster recovery, annual development, and program management for the AEDS. The services shall also include all transition tasks including the start-up and exit transition of services. The Contractor shall provide all resources necessary to accomplish the requirements described in this PWS, except as otherwise specified.

4 Applicable Directives

The Contractor shall comply with the following laws, regulations, directives, processes and procedures in the performance of the requirements of this PWS.

Directive Number	Title	Date / Version No.
1	FSA Lifecycle Management Methodology (LMM) https://studentaid.ed.gov/about/contracting-info/it-standards	6/15/2012 / Version 1.20
2	Enterprise Operational Change Management (EOCM) Plan	10/6/2010 / Version 1.3
3	Federal Information Security Management Act (FISMA) of 2002	2002 (Title III of E-Government Act of 2002)
4	Section 508 of the US Rehabilitation Act	
5	Federal Student Aid Acquisition Regulation (FSAAR)-852.273-75: Security Requirements for Unclassified Information Technology (IT) Resources	Interim-October 2008

5 Performance Requirements

5.1 Project Management

The Contractor shall provide comprehensive project management under this contract. The Contractor shall be responsible to develop a Project Management Plan (**Section 5.1.1 below**). Key personnel for this effort is the Program Manager. The Contractor shall identify a Program Manager, who shall provide management, direction, administration, quality assurance, and leadership of the execution of this contract.

The Contractor shall schedule and coordinate a Project Kick-Off Meeting within five (5) business days of contract award, at the location approved by the Government, most likely in the Washington, D.C. area. The meeting shall provide an introduction between the Contractor personnel and Government personnel who will be involved with the Contract. The meeting shall also provide the opportunity to discuss all aspects of this PWS.

The Contractor shall participate in monthly/quarterly status meetings to ensure success of the project and shall prepare monthly/quarterly status and progress reports until such time that the CO/COR/Authorized Designee elects to modify this schedule in writing.

The Contractor shall provide meeting minutes for the monthly/quarterly status meetings to the COR/CO. The Contractor shall keep in communication with the CO/COR accordingly so that issues that arise are transparent to both parties and outstanding issues are not escalated.

The Contractor shall ensure audits and assessments do not have substantive findings (material weaknesses or significant deficiencies). The Contractor shall provide FSA with a written response to all non-substantive findings within one (1) month and resolution within two (2) months from the date of notification. The Contractor shall provide FSA with a written response to all substantive findings within two (2) weeks and resolution within four (4) weeks from the date of notification. The Contractor shall generate, collect, distribute, store, retrieve, and dispose of required project information.

Scheduling and planning is essential to the success of this requirement. The Contractor shall create and maintain schedules for FSA to be included in the Contractor's Integrated Master Schedule.

In addition, the Contractor shall:

1. Provide FSA with an updated list of phone numbers, addresses, and email addresses for key personnel that regularly interact with FSA;
2. Ensure all documents are tracked using dated version control.

5.1.1 Project Management Plan (PMP)

The Project Management Plan (PMP) will be developed and delivered within 21 business days after contract award. The PMP must set forth in reasonable detail the procedures that the Contractor will take to accomplish the objectives of the work. The PMP shall document planning assumptions and decisions; facilitate communication among

stakeholders; and document approved scope; cost; work breakdown structure and resource loaded schedule, as well as schedule baselines. The PMP shall document how the Contractor plans to provide oversight and monitoring of the contracted work and defines its organization. The PMP shall be compliant with the latest Project Management Body of Knowledge (PMBOK®). The PMP shall be kept current throughout the life of the project and shall be used in part to track progress. A PMP shall be delivered annually and updated quarterly or as requested by the government when major change requests have been approved.

5.1.2 Lifecycle Management Methodology (LMM)

The Contractor shall comply with Federal Student Aid's project delivery and governance methodology, the Lifecycle Management Methodology (LMM), which defines the control level activities and minimum set of documentation requirements to successfully oversee the development and implementation of a solution. The Contractor shall deliver specific project information resources deliverables in a format prescribed by the FSA LMM templates when possible. Project deliverables and work products over and above the LMM, may be delivered in accordance with the Contractor's proposed methodologies, unless otherwise identified in the contract.

If the Contractor proposes use of their own methodology, the Contractor shall provide an LMM Compliance Matrix that details how their Systems Development Lifecycle (SDLC), activities and deliverables/work products trace to the Lifecycle Management Methodology Stages, Core Deliverables and Stage Gate Entry/Exit Criteria.

The purpose of this Operations and Maintenance contract is to ensure reliable operation of the solution, perform scheduled and ad-hoc maintenance, and implement necessary enhancements. Solution changes or enhancements, depending on their magnitude, may require new deliverables rather than updates to existing artifacts. The Enterprise Operational Change Management (EOCM) group performs an impact analysis prior to any production environment changes. All major changes to the solution will go through all defined LMM Technical Stage Gates. The Contractor shall support all LMM Stage Gates including the development of briefing materials, submission of action items, action item resolution, mitigation strategies, and test results. The Contractor shall be required to submit to the Government a request for permission to proceed and will not proceed to the next Stage unless the Government grants Authorization to Operate/Proceed (ATO/ATP).

5.2 Annual Development

5.2.1 System and Software Development

The annual release of AEDS application software shall be implemented no later than January 1st of each year or as directed by FSA. The activities and effort that are associated with annual development cycle generally fall into two categories. The first category is the effort required to make changes to the system and services to enable the processing of an additional award cycle, commonly referred to as "system rollover." The second category is the effort involved in making changes to the system and services that are "routine changes"

addressing deficiencies and enhancements to ensure the delivery of quality services as a part of the annual development process.

In addition, the level of effort for requested enhancements shall be provided and assessed as a part of the process for requirement prioritization and establishment of the requirements baseline for the annual development cycle. This process shall be the same for development efforts that fall outside the scope of the annual development cycle effort.

The Contractor shall provide a flexible system and software development capability that is responsive to legislative and regulatory updates on the following schedule: January (annual application startup), July (application shutdown), and September (correction shutdown) as well as any emergent releases as needed. The Contractor shall provide examples of previous experience and rationale for how they will provide flexibility, agility, and responsive systems and software development while adhering to the FSA LMM and reducing time to release and risk.

The Contractor shall complete the annual requirements analysis, system design, code development, system testing, implementation and documentation support, and monitoring and maintenance of systems currently under the AEDS. These systems include the Application Submission systems (FAFSA on the Web, FAA Access to CPS Online), the Eligibility Determination system (CPS), the Participation Management system, and the School Tools (EDEExpress PC and Web versions, DL Tools, FSA Download, FSA Listserv).

Annual rollover of the baselined AEDS operations is defined as the tasks to initiate a new code base and database with the existing cycle's functionality in order to enable the processing of an additional award cycle. In addition to bringing all of the current cycle's functions forward, rollover shall include the following annual system and documentation updates to:

- ❖ Account for the new cycle year
- ❖ Adjust date references
- ❖ Update state deadline references
- ❖ Modify system parameters
- ❖ Update Pell Tables
- ❖ Update tax form references
- ❖ Update EFC offset tables
- ❖ Revise verification selection criteria
- ❖ Delete edits that no longer apply or are no longer effective
- ❖ Support forms clearance process for both FAFSA and PM/SAIG Enrollment forms

At the beginning of each development cycle, prior to beginning requirements meetings and prior to creating the AEDS Master Schedule, the Contractor and FSA shall agree upon a high-level milestone schedule that includes information about deliverables and acceptance testing. The high-level milestone dates shall serve as the starting point for the detailed schedule. The high-level schedule allows FSA to see the range of dates needed to plan for documentation reviews, acceptance testing, production readiness reviews (PRRs), and post implementation reviews (PIRs). The high level schedule shall be provided to FSA weekly.

The Contractor personnel shall conduct requirements meetings with FSA personnel to determine and document system changes to the affected products and services. All items for consideration shall be documented on a Requirements Tracking Summary (RTS) for each AEDS system or subsystem. Once requirements are finalized, a Customer Requirements Document (CRD) and Functional Specifications for each product area shall be created, reviewed, and accepted by FSA. The Contractor shall create Detail Design Documents and deliver them to FSA for review. The tasks and review timeframes associated with each Detail Design Document (DDD) shall be documented on the AEDS Master Schedule. The Contractor shall follow proven software development processes that are compliant with industry standard best practices and FSA's Lifecycle Management Methodology, outlined in **Section 5.1.2 above**.

The Contractor shall annually develop, support, and monitor the following AEDS IT products:

- ❖ FAFSA on the Web (FOTW) at FAFSA.gov (including FAFSA4caster)
- ❖ FAA Access to CPS Online
- ❖ Eligibility Determination System (CPS Mainframe)
- ❖ School Tools
 - EDEExpress
 - DL Tools
- ❖ Partner/FSA Tools
 - FSAWebEnroll.ed.gov
 - FAFSA Demo
- ❖ Management Information System (MIS)/Business Intelligence (BI) Reporting Tools

The Contractor shall produce products and deliverables that are compliant with Section 508 of the Rehabilitation Act; this compliance shall apply only to products and deliverables that fall within the purview of the Act, other products or deliverables used by the Contractor in the performance of this contract, that are not covered by the Act, need not be Section 508 compliant.

For the annual release of new cycle AEDS IT products, the following key performance indicator shall apply:

Area	Performance Standards
New Cycle Availability	The annual release for AEDS shall be implemented no later than January 1 of each year or as directed by FSA.

5.2.2 FAFSA Forms Development

The following forms shall be updated annually:

- ❖ English and Spanish paper FAFSA
- ❖ English and Spanish FAFSA PDF – 508-compliant fillable form
- ❖ English and Spanish FAFSA on the Web Worksheet (FOTW Worksheet) – 508-compliant form

❖ English and Spanish Student Aid Eligibility Worksheet

FSA shall provide the content, language, and direction on the ordering of each data element and instructions on the FAFSA and FOTW Worksheet. The schedule must be fluid as these documents are driven by the review and approval through OMB.

The Contractor shall provide a rollover draft of the English and Spanish paper FAFSA, FAFSA on the Web Worksheet, and Student Aid Eligibility Worksheet with updated colors and year increments to FSA in February. The workflow for each form is described below.

Paper FAFSA

1. The Contractor shall reformat/redesign the paper FAFSA, add/delete questions, change the design as directed, produce drafts of the English and Spanish FAFSA, and deliver the created PDF file to FSA; FSA shall review and request revisions as needed.
2. The Contractor shall produce up to six (6) additional drafts, as needed. After the Contractor receives updated IRS line number changes, a new draft of the FAFSA and Worksheet shall be created to accommodate changes to IRS line numbers.
3. When requested (usually September), the Contractor shall deliver print-ready files on disk, hard copy, and GPO documents necessary to conduct a test printing for English paper FAFSA/IDC test. The Spanish version shall not be delivered for the print test.
4. After OMB approval, the Contractor shall deliver final print-ready files on disk, hard copy, and GPO documents for the English and Spanish final paper FAFSA.

FAFSA PDF

1. The English version of the FAFSA that is posted for the 60-day review phase shall be used as the basis to begin the creation of the English and Spanish 508-compliant versions of the fillable FAFSA PDFs. The Contractor shall test the English and Spanish PDF FAFSA internally.
2. The English FAFSA PDF shall be tested by FSA during Federal Student Aid FAFSA on the Web UAT testing. The Spanish FAFSA PDF shall also be posted to FAFSA on the Web.

FAFSA on the Web Worksheet

1. The Contractor shall reformat/redesign the FOTW Worksheet to incorporate changes made to the paper FAFSA, change the design as directed, produce draft of the worksheet, and deliver the PDF created to FSA; FSA shall review and request revisions as needed.
2. The Contractor shall produce up to three (3) additional drafts as needed. After the Contractor receives updated IRS line number changes, a new draft of FAFSA and Worksheet shall be created to accommodate changes to IRS line numbers.
3. When requested (usually September), the Contractor shall deliver print-ready files on disk, hard copy, and Government Printing Office (GPO) documents necessary to conduct a test printing for English FAFSA on the Web Worksheet/IDC test.
4. After OMB approval, the Contractor shall deliver final print-ready files on disk, hard copy, and GPO documents for final FOTW Worksheet. The English FAFSA

on the Web Worksheet PDF shall be tested by FSA during Federal Student Aid FAFSA on the Web UAT testing. The Spanish Worksheet shall also be posted to FAFSA on the Web.

Student Aid Eligibility Worksheet

1. The Contractor shall reformat/redesign the Student Aid Eligibility Worksheet, add/delete text, and change the design as directed, produce draft of the worksheet, and deliver the PDF file created to FSA; FSA shall review and request revisions as needed.
2. The Contractor shall produce up to three (3) additional drafts as needed.
3. After the Contractor receives FSA approval on the Worksheet, the PDF file shall be delivered to the IDC.

5.2.3 Usability Testing

The Contractor shall support up to two (2) usability tests per contract year with an average of 12 participants per session. If travel is necessary to support the usability test sessions, travel costs shall be invoiced on a T&M basis.

5.2.4 User Acceptance Testing

The Contractor shall conduct User Acceptance Testing (UAT) in collaboration with FSA. The Contractor shall provide a testing lab in a Washington, DC office location for acceptance testing of AEDS IT products. The computers and network support for the DC Office Testing Lab shall be provided by the Contractor.

5.2.5 Training

The Contractor shall support FSA by providing training sessions to FSA staff to help FSA staff better understand the development and testing process. Typical training sessions may include presentations on testing processes and phases, a Software Lifecycle Overview for new staff, training on how to use the Functional Specifications for acceptance testing, and training on how to use the OLAP system.

5.3 Operations and Maintenance

5.3.1 Production and IT Maintenance Support

Once a product is moved into production, it shall be considered in maintenance mode. Maintenance refers to the activities taken to keep a deployed solution operational, per the approved requirements.

The Contractor shall perform all AEDS production activities for the length of the 18-month processing cycle (beginning January 1 of each year) and shall maintain the operations of the entire AEDS operations system components, from Application Submission, through Eligibility Determination, and finally to Results Distribution. Specifically, the Contractor shall provide the following products and services:

- ❖ IT operations and maintenance support including:
 - Supporting daily production control and compute processing
 - Release of code fixes for tracked problem logs
 - Testing support for infrastructure upgrades
 - Testing support for patching
 - Production troubleshooting support and testing
 - Supporting Technology Office Tiger Team initiatives as they relate to AEDS products
 - System password changes and testing

When matching agencies and the AEDS environment are functioning properly, the following compute processing and system maintenance key performance indicators shall apply:

Area	Performance Standards
Compute Processing w/ External Matching	Not to exceed 72 hours from receipt of record at Eligibility Determination component to transmission of processed record output, measured monthly
Compute Processing w/o External Matches	Real time, measured monthly
Availability	Production systems hosted by the Contractor shall be available 99.5% of the time, calculated over a quarter
Timely Trouble Ticket Management - Critical	95% of Critical issues (issues causing processing to stop) shall be assessed and proposed resolution date provided within next business day
Timely Trouble Ticket Management - High	95% of High severity issues (issues impacting the processing of one or more users) shall be assessed and proposed resolution date provided within three business days
Timely Trouble Ticket Management - Medium	95% of Medium severity issues (issues impacting slight degradation in service) shall be assessed and proposed resolution date within 5 business days
Timely Issue Resolution	For Critical and High categorized Trouble Tickets, the Contractor shall have resolution production ready by the targeted resolution date 95% of the time

- ❖ Cycle Closeout: Closeout activities shall begin prior to the end of the production cycle and continue through the following July when the final End of Year Report is delivered. The Contractor shall complete the closeout activities annually by July 15. Closeout activities include:

- Early End of Year (May through December)
- End of Year (November through July)
- Archived ISIRs (November through March)
- ❖ Provide continued support and maintenance for all products listed in **Section 5.2.1 above** and for the following products that are not annually rolled over:
 - Return to Title IV Funds (R2T4)
 - FSAdownload

5.3.2 Management of Volume Peaks

The Contractor shall manage application and correction peaks to confirm that the same level of quality service and processing time occurs during peak operational needs as they occur throughout the processing year. Based on historical data and volume trend predictions, the Contractor shall project application and correction volumes for both Web and paper applications. The volume projections shall then be used by FSA to determine hardware capacity requirements for both peak and non-peak periods and to determine staffing requirements for data entry operators and for customer service specialists. Projections and analysis shall be shared with FSA and its support contractors as needed.

5.3.3 Participation Management (PM) Support

1. PM Forms Processing

The Contractor shall process the PM/SAIG Enrollment forms granting user access to Federal Student Aid systems. The two primary forms that shall be processed include full paper enrollment forms and signature pages from enrollment requests submitted online. The pertinent information from these forms shall be keyed into the PM system and the information processed. All forms shall be imaged and stored in an electronic image repository, and hard copy forms shall be stored in a secure warehouse for retrieval as needed.

2. PM Forms Support

The Contractor shall support Federal Student Aid in the annual submission of the PM/SAIG Enrollment form through the OMB review and clearance process.

5.3.4 Image Data Capture (IDC)

The Contractor shall continue to provide IDC services in the form of mailroom duties, scanning, data capture/validation, and (hard copy) records management, and exception processing. The IDC system integrates with the Eligibility Determination system to provide data and receive confirmation of processing. The paper forms processed by IDC include:

- ❖ FAFSA
- ❖ SAR Correction

❖ Signature Page

❖ History Corrections on Non-standard Document

The IDC team shall continue to handle return mail from undeliverable addresses. All processed paper documents shall be stored locally until the end of that cycle's processing period. Once the processing for a cycle completes, the IDC team shall assist with the shipment of these documents to the Federal Records Center. In addition to the processing of these paper documents, the IDC team shall also handle return mail and paper document requests.

Turnaround time shall be measured from receipt of document to transmission of completed data file/image to CPS. Documents shall be processed within the standard turnaround timeframe. The Contractor shall oversee the IDC system to assure that it is available and running efficiently in order to meet turnaround requirements.

Turnaround time measures for paper shall be as follows:

Document Type	Turnaround Time Standard
FAFSA	Average of 7 business days or less, measured monthly
SAR	Average of 4 business days or less, measured monthly
Signature Page	Average of 3 business days or less, measured monthly
Correspondence	Average of 4 business days or less, measured monthly

Performance of data entry accuracy shall be measured in the following areas:

Area	Performance Standard
Field Level Accuracy per 100,000 fields	99% for critical fields and 96% for non-critical fields, measured quarterly

5.3.5 Email Processing

The Contractor shall be responsible for system-generated e-mails to the customer, as applicable. E-mail documents include web record receipt notifications, student and parent

SAR processing notifications, renewal and saved application reminders, and IRS income follow-up notifications.

E-mail turnaround times shall be as follows:

Document Type	Turnaround Standard	Time
SARs	1-3 business days	

5.3.6 Printing and Mailing

1. Eligibility Determination Printing

The Contractor shall print, assemble, and mail all system-generated and hard copy documents to the customer, as applicable. Printed documents include SARs, SAR Acknowledgments, and subsequent application letters. SARs shall be mailed within 4 business days of receiving the print request from CPS.

Document Type	Turnaround Time Standard
SARs	4 business days

2. AEDS Postage

The Contractor shall provide postage services for AEDS operations' mailings. The Contractor shall provide Not-to-Exceed amounts for the postage effort based on estimated annual volumes. Postage costs shall be funded up to the Not-to-Exceed amounts for each contract year in the annual contract price. Additional postage effort shall require additional funding to the Contract. For Year 1 of the Contract, the expected mailings volumes shall be:

Document Type	Base Year Volume
AEDS Mailings	XXX

5.3.7 Statistical Analysis Support

The contractor shall create a statistically-reliable representative sample of applicant data to enable many routine and ad hoc analyses. Data from the sample databases shall be merged with data from the Common Origination and Disbursement (COD) system for a combined view of applicant and recipient data. Using the aforementioned sample database, the Contractor shall support the following analyses:

- ❖ **Annual Requirements Analysis** –Support the annual development of new requirements for each new cycle year by performing statistical analyses to support the following three key objectives:
 - Evaluate the effectiveness of editing logic within CPS (i.e., warnings, assumptions, and reject edits); and
 - Derive the most effective verification selection criteria for applicants selected for “verification” using the defined sample databases, recipient disbursement data from the COD system, and a regression analysis tool as needed. FSA has an annual target of selecting 30% of applicants for verification, which is in essence an audit completed by the schools.
 - Perform Statistical Analysis in support of other key FSA initiatives each year, such as FSA’s Improper Payments Initiative. This may involve working cooperatively with IRS staff to conduct an annual study estimating Pell Grant erroneous payments.
- ❖ **IRS Statistical Study** –Perform the following activities within this FSA initiative:
 - Perform statistical analyses each year to evaluate the accuracy of applicant reporting and determine potential Pell misallocated awards;
 - Create a sample file of FAFSA applicant data which is sent to the IRS for matching against the IRS database for accuracy; and
 - Compare FAFSA data to IRS data to determine discrepancies and their possible effects on financial awards to include the following:
 - Average amount of over- and under-reporting of FAFSA income data compared to IRS data and the potential misallocation of Federal Pell Grant dollars that could be prevented by an IRS match;
 - Volume of applicants for whom a mismatch between FAFSA and IRS data may be legitimate;
 - The type of applicants who are more likely to misreport income on the FAFSA;
 - The Validity of the current CPS verification selection edits; and
 - The effectiveness of the IRS data retrieval process available to FAFSA on the Web applicants.
- ❖ **Fraud Detection Analysis** –Detect potential fraud ring participants by analyzing the following:
 - Predict the student dropout rate for students selected for random verification.
 - Identify suspicious patterns of key variables (e-mail, address, school code, and PIN) that may indicate potential fraud rings. These patterns shall be loaded to a file and used during application processing.
- ❖ **End of Year Reporting** –Support End-of-Year activities by providing summary information on Title IV applicants as well as Federal Pell and TEACH Grant

activity for the most recent award period. The End of Year (EOY) project is comprised of the following deliverables:

- Master Merge File – a merged file containing Title IV applicant and Federal Grant recipient data.
- EOY Sample File – a file containing applicant and recipient data for individuals, that is used for modeling and analysis purposes for the Office of Postsecondary Education (OPE), and for budgetary projections provided to FSA’s Office of the CFO (OCFO).
- EOY Publication Tables – a series of tables that are published in the End-of-Year Report, providing summary data on Pell Grant recipients. Generate 35 end-of-cycle “publication” data tables for Congressional reporting.
- EOY Research Tables – a series of additional tables providing information used by ED for research and analysis purposes. Generate approximately 53 “research” data tables for FSA research.

5.3.8 Operation of the CPS/SAIG Technical Help Desk

The Contractor shall be responsible for staffing, operating, and managing the CPS/SAIG Help Desk, which serves Title IV participating organizations by providing information about the AEDS (CPS), SAIG, and associated software applications by phone and e-mail. The CPS/SAIG Help Desk shall also support inquiries from the hearing-impaired. Help Desk technical service representatives (TSRs) shall provide Tier-1 and Tier-2 support in both English and Spanish.

The Contractor shall provide Help Desk services to support customers, such as universities, colleges, state agencies, lenders, and Federal Student Aid application partners, who are seeking information about the processing of the FAFSA (paper and Web versions) or the transmission of Title IV data through the SAIG system. In addition, TSRs shall provide assistance and information to the users of CPS-developed software products, including EDExpress, FAA Access to CPS Online, ISIR Analysis (IA) Tool, Return of Title IV Funds (R2T4), and Direct Loan (DL) Tools. CPS/SAIG TSRs shall also provide technical assistance to SAIG users.

Specific types of CPS/SAIG TSR assistance covered under this PWS shall include but not be limited to:

- ❖ Providing processing information concerning FAFSA data
- ❖ Resolving application and correction errors
- ❖ Supporting the use of the EDExpress software product
- ❖ Assisting in SAIG enrollment for the electronic transmission of batch services using [FSAWebEnroll.ed.gov](https://fsa.webenroll.ed.gov)
- ❖ Supporting the use of the FAA Access to CPS Online tool
- ❖ Assisting with the Application Test System for third party software vendors
- ❖ Managing inquiries and responses submitted through the FSATech listserv system

- ❖ Supporting the SAIG system and its associated set of tools
- ❖ Supporting EDconnect users

Customer interaction channels of communication include:

- ❖ TSR assisted calls on 1-800-330-5947
- ❖ E-mails sent to CPSSAIG@ed.gov and FSATech@listserv.ed.gov

CPS/SAIG Help Desk hours of operation shall include:

Day	Hours
Monday - Friday	8 am – 8 pm ET
Saturday/Sunday	No service
Federal Holidays	CPS/SAIG Help Desk is closed on federal holidays

CPS/SAIG Technical Help Desk monthly KPIs and service levels shall include:

Area	Service Level
Customer Satisfaction	Customer Satisfaction Survey: 85% of participants rate service 4 or higher on 5-point scale
Live Answer Percentage	95% of calls offered to agents answered live
Prompt Answer Percentage	80% of calls answered in 20 seconds
Accuracy	98% accuracy (contacts not requiring follow-up contact)
FSATech Speed of Response	Provide initial response to 100% of FSATech List Serve postings within one business day.

To assess and monitor customer satisfaction, the Contractor shall conduct the CPS/SAIG survey (**Attachment 5: CPS/SAIG Customer Satisfaction Surveys**). Thirty users shall be selected randomly each month and polled with the survey questions. The measurement period shall be quarterly, each 3 months, aligning with the AEDS contracting year, beginning with February and ending with January.

In the event that the Customer Satisfaction KPI falls below target for two consecutive measurement periods, the Contractor shall initiate a Corrective Action Plan (CAP) to formally manage actions to restore performance. This plan shall include analysis of the performance gap, a plan of action with timetable for implementation, and a clearly identified owner. The CAP will be initiated within five (5) business days of the close of the measurement period and submitted to the COR within 10 business days of the close of

the measurement period. The Contractor's independent AEDS Quality Manager shall confirm that the plan is fully implemented and shall track the CAP's progress weekly with AEDS management.

FSA has the right to contract with a third party to conduct a customer satisfaction survey, or use a blend of the Contractor-delivered C-SAT tools, those of the Department and those of a third party. In the instance of consecutive periods of non-compliance, the CAP will be escalated with weekly Contractor Senior Management oversight and tracking of re-alignment to the target range.

Each calendar year, unless otherwise directed by FSA, the Contractor shall re-baseline the customer satisfaction survey and shall provide FSA a comparative analysis of the historical percentage, or norm, of low-rating scores of 1 and 2 to these low-rating scores in the new delivery model. Established C-SAT targets are based on current FSA environment. Changes to Federal Student Aid business processes, programs (new or changed), policies, and regulations, and changes to economic and demographic factors, will be assessed for their impact on C-SAT and targets may be re-baselined in a collaborative effort between the Contractor and FSA.

Should an event or events beyond the control of the Contractor and its subcontractors drive a decrease to C-SAT for a period of time, FSA and the Contractor shall review and determine whether to suspend C-SAT requirements for a mutually agreed upon period. Events triggering this provision include, but are not limited to policy changes, system outages, program anomalies etc.

5.3.9 Conference Support

The Contractor shall provide FSA with support for conference attendance on a fixed price per person, per request basis to include all travel costs. The services and deliverables provided for conference support are described in the Best and Final Offer Technical Proposal.

5.3.10 Ancillary Services

The Contractor shall provide Ancillary Services pertinent to the processing of paper promissory notes for Direct Loans in support of the U.S. Department of Education, Federal Direct Student Loan Program by providing the following services:

- ❖ **Receiving and sending mail via mailroom functions.** The Contractor shall process promissory notes beginning with the receipt and opening of incoming mail. Promissory notes are received daily from the United States Postal Office (USPS) and overnight delivery services. Each institution provides a manifest with the promissory notes attached. Mailroom support clerks shall receive the documents and verify that there is a corresponding manifest for each batch of promissory notes received. Each promissory note and manifest shall be date-stamped and a batch cover sheet created to record each manifest number contained in that batch.
- ❖ **Imaging paper promissory notes into the Image Repository.** All single-year and multi-year promissory notes for Subsidized/Unsubsidized and PLUS awards,

Credit Reports, Endorser Addenda, Powers of Attorney, Alternate Documents, and manifests, shall be scanned and stored in an imaging database for FSA. Imaging eliminates the manual process of tracking hard-copy documents, by enabling all hard-copy documents to be changed into electronic images. An additional benefit of electronic images is that the images can be retrieved and printed remotely without human intervention.

- ❖ **Storing paper promissory notes.** The Contractor shall use vault storage procedures that make certain that all documents are stored and protected according to standard storage and security procedures. The vault is a secured area; access shall be available only on a limited basis to make certain that the sensitivity of the documents is maintained. After the promissory notes are scanned into the Imaging Database, they shall be permanently stored in the vault.
- ❖ **Maintaining the Image Repository through a Web hosting facility.** The Contractor shall maintain the Image Repository, including storage, backup, and archive of images. A Web gateway shall be setup and maintained to provide Internet access to other Department agency users, such as Loan Servicing and Debt Collection. This access eliminates the need to physically transfer images to other organizations. The Contractor shall be responsible for their Web hosting services, managed storage connectivity, and ongoing support.
- ❖ **Sending promissory note metadata to COD and reconciling data.** An integral part of the paper promissory note processing is the reconciliation of the metadata sent to the COD system. The Contractor shall follow the process that is in place to reconcile metadata discrepancies on a daily basis to make certain that data in both systems is synchronized.
- ❖ **Providing Batch IDs for FRC Records.** The Contractor shall take requests for promissory note fulfillment for documents not stored in the Vault and determine the Batch ID for each request. The Contractor is not responsible, under this PWS, to fulfill the promissory note request, beyond the determination of the Batch IDs, for records that are located at the Federal Records Center (FRC).
- ❖ **Providing print fulfillment and mailing services.** The Contractor shall provide Master Promissory Note print and mailing services. Daily files sent by COD shall be received by the Contractor's print center. The print job shall be initiated and MPNs printed, placed in envelopes, and mailed to the intended recipient.

Ancillary Services' monthly KPIs and service levels shall include:

Area	Service Level
Incoming Mail Processing	Turnaround time for processing incoming mail and forwarding paper promissory notes after receipt to imaging to be indexed shall not exceed 24 hours, average measured monthly
Promissory Notes Processing	Turnaround time for processing promissory notes after receipt from the mailroom shall not exceed two (2) business days, average measured

Area	Service Level
	monthly

1. Processing and Networking Support

The Contractor shall provide the professional personnel needed to support the Direct Loan paper promissory note processing and infrastructure maintenance. This support shall include all functions of the local area network (LAN), Telecom, and systems. Business Office and Quality Assurance support is provided to the entire team.

2. Technical Maintenance Support

The Contractor shall provide the personnel needed for system maintenance and technical support of promissory note processing and reconciliation. Maintenance is a critical and difficult phase in the system lifecycle. It requires identifying and correcting problems in a system while keeping the system operational. To minimize the impact that changes will have on users, it is necessary to have technical staff who are experienced in all aspects of the system. This staff shall respond to day-to-day problems with the system and modifications to the system that are necessitated by changes made elsewhere in the Direct Loan delivery process, as well as provide corrective enhancements to accommodate business need changes to circumvent problems before they occur. The Contractor shall participate in the COD Daily Production call and be prepared to assist and respond to issues affecting the delivery process of information.

3. Quality Assurance Support

The Contractor shall support FSA by reviewing all processes to make certain of adherence to standardized procedures. The Contractor shall monitor promissory note processing, warehouse fulfillment, overall vault management, and technical support activities regularly, and provide recommendations for improvements, where applicable. The Contractor shall respond to requests from FSA for statistical data related to the services.

1.Expected Volumes

Each year, FSA shall provide the Contractor with expected volumes for Ancillary Services. The Contractor shall provide its own Not-to-Exceed amounts in its proposal based on the expected volumes. For Year 1 of the Contract, the expected volumes shall be:

Document Type	Base Year
MPN Processing	XXX
MPN Printing	YYY

5.3.11 Cooperation with Multiple Agencies/Contractors

The Contractor shall work cooperatively within a multi-contract and interagency environment, comprising the Social Security Administration (SSA), Department of Justice (DOJ), Selective Service System (SSS), Veterans Administration (VA), Department of Homeland Security (DHS), Department of Defense (DOD), and Internal Revenue Service (IRS). The Contractor shall interface with and assist the business units of other agencies to meet FSA's goals by contacting each agency and communicating the requirement changes for the new cycle. The Contractor shall initiate the transmission testing with the new files and new parameters provided for testing.

The Contractor shall support the interfaces between the business functions supported by the Contractor and other functions within the Federal Student Aid enterprise. The Contractor shall also act in a support role for requirements, analysis, and planning efforts in support of FSA's information framework initiative, data strategy, and other enterprise system integration/improvement efforts. In addition, the Contractor shall work with other business units at FSA, including Direct Loan and Federal Pell Grants, to cooperatively discuss data access improvements.

5.3.12 Technology Evergreening

The Contractor shall ensure that AEDS underlying technology is up to date by planning for product upgrades to at least Version N-1 for all software. Contractor shall use Version N where applicable and when Version N is the latest market release of the vendor software and shall ensure that all of AEDS' IT products (listed in 5.2.1 and 5.3.1 above) are compatible with new COTS software versions. Specifically, the Contractor shall

1. Develop and maintain the long-term evergreening schedule in collaboration with FSA's Technology Office and recommend a software evergreening plan and timeline.
2. Provide technical strategy, guidance, consultative advice, and/or informational support to the VDC.
3. Process AEDS Change Requests and submit corresponding VDC Change Requests to plan and execute evergreening changes.
4. Perform Technology Proof of Concepts in support of evergreening activities.

5.3.13 Documentation

The Contractor shall use the established style guides, standards, and processes agreed upon with FSA for the creation and maintenance of system and user documentation, including process guides, network messages, and technical references. The creation and maintenance of AEDS system and user documentation shall follow established FSA review and approval procedures. FSA's review and approval tasks and milestones shall be included as part of AEDS documentation project schedules within the AEDS Master Schedule. The tasks and protocols by which FSA reviews and approves AEDS documentation vary depending on the type of deliverable. Notice of approval of deliverables to the Contractor shall come from the Contracting Officer or the COR.

The following standards for Federal Student Aid approval shall be followed for all documentation types, unless pre-arranged exceptions apply:

- ❖ Final drafts submitted for approval shall include all revisions submitted by Federal Student Aid during the review phase, including any changes/revisions discussed during the review walkthrough or subsequent discussions/e-mails with FSA staff and approved by the relevant FSA Team Leader.
- ❖ Final upper FSA management approval shall be required in e-mail format before any AEDS documentation deliverable is published to the Web or released as a component of a PC or Web product.
- ❖ Once final FSA approval is obtained for AEDS documentation, it will not be modified unless approved by the relevant FSA Team Leader for the document and appropriate upper FSA management.

The Contractor shall create and maintain the system and user documentation listed in **Section 0** below.

5.3.14 Status Reporting

The Contractor shall provide FSA with regular status reports regarding various aspects of AEDS' operations. **Section 10.2.2** lists the regular status reports that shall be provided by the Contractor and the frequency of reporting. The following key performance measure shall apply to status reporting:

Area	Performance Standard
Timely Disincentives / KPIs Reporting	Report all disincentives/KPIs by the 10 th business day of the following month
Timely Status Reporting	Submit 100% of the status reports (listed in Section 10.2.2) at the specified reporting frequency

5.4 Special Projects/Initiatives Support

5.4.1 Supporting Project to Improve Accuracy of Student Data

The Contractor shall support the project to improve the accuracy of applicant data and other related initiatives. These initiatives are intended to develop multiple strategies for improving the quality of applicant-reported data on the FAFSA to reduce erroneous payments in Federal Student Aid Programs. The Contractor shall support this project and other related initiatives throughout the lifecycle of the Contract. These initiatives shall include, but are not limited to, tasks such as Internal Revenue Service (IRS) research and analysis and enhancement and maintenance of the Multi-Year Applicant Database.

The IRS statistical study work currently includes two major components. The first component comprises the baseline analysis which provides the calculation of the estimated

Pell Grant erroneous payment amount for the cycle and an analysis of the results of matching FAFSA data against IRS data. The second component provides input for the analysis to generate the verification selection criteria for the CPS. The major activities performed by the Contractor or its subcontractor(s) shall include the following:

❖ **Baseline Analysis**

- A. Generate initial sample file and sampling program and provide to the IRS for matching.
- B. Generate data file for sample records and provide to the IRS.
- C. Develop SAS program for Expected Family Contribution (EFC) calculation using IRS data and FAFSA data and provide program to the IRS.
- D. Develop SAS program for calculation of Pell Grant awards based on EFCs using IRS data and FAFSA data, and calculation of erroneous payments, and provide to the IRS.
- E. Develop SAS programs to generate statistical tables for comparison of FAFSA and IRS data by various applicant characteristics and provide to the IRS.
- F. Develop SAS programs to generate statistical tables for comparison of FAFSA and IRS data for applicants attending Quality Assurance schools, and provide to the IRS.
- G. Develop SAS programs to generate statistical tables for comparison of FAFSA and IRS data for applicants using the IRS Data Retrieval Tool, and provide to the IRS.
- H. Review output from programs, revise and resubmit programs, and review output through multiple iterations.
- I. Analyze data, generate formatted tables, and produce report of results.

❖ **Verification Analysis**

- A. Generate initial sample file and sampling program and provide to the IRS for matching.
- B. Generate data file for sample records and provide to the IRS.
- C. Develop statistical programs for linear regression analysis using IRS data in place of FAFSA data and provide programs to the IRS.
- D. Review output from programs, revise analysis, resubmit programs, and review output through multiple iterations.

Key performance indicators (KPI) shall include:

Area	Key Performance Indicator
Incorrect Awards	The number of Pell incorrect payments (determined by a periodic comparison of Pell applicant data to IRS data) reduced by 3 percent each year.

Reducing the number of incorrect payments will coincide with the goals of improving applicant data and reducing the amount of misallocated award dollars to help prevent FSA programs from appearing on the GAO High Risk List.

5.5 Transition Planning

The Contractor shall develop comprehensive procedures for phasing in Contractor performance to the level prescribed and within the time allowed under the terms of this Contract. To ensure a smooth transition, the Contractor shall submit a Phase-In Plan as a part of its technical proposal in accordance with the Contract. The Contractor shall also establish and implement plans for an orderly phase-out of the contracted operations at the termination of this Contract. The Contractor shall submit a Phase-out Plan to the COR for evaluation and approval six-months after contract start. The Contractor's phase-out procedures shall not disrupt or adversely impact the day-to-day conduct of Government business. The Contractor shall provide the COR with copies of changes and revisions for review and approval prior to implementation.

5.5.1 Phase-In Period

The period between Contract award date and Contract start date will constitute the phase-in period. During the phase-in period, the Contractor shall prepare to assume full responsibility for all areas of operation in accordance with the terms and conditions of this contract. The Contractor shall take all actions necessary for a smooth transition of the contracted operations. This period will be approximately 60 calendar days in duration. The Government will make all facilities and equipment accessible to the Contractor during the phase-in period. During the last 30 days of the phase-in period, the Contractor's management personnel will be permitted to observe any on-going operations, as approved by the COR. During the phase-in period, the Contractor shall at a minimum:

- ❖ Establish a Contractor's Project Management Office to coordinate phase-in tasks and be the single point of contact for the Government during the phase-in.
- ❖ Recruit and hire necessary personnel.
- ❖ Obtain all required certifications and clearances, including personnel security clearances
- ❖ Participate in development of joint inventories and sign for Government furnished property/equipment/information.
- ❖ Develop and submit any required deliverables.
- ❖ Initiate development of the Base Year Operations and Maintenance Service Plan, which is due 30 days after contract start.
- ❖ Attend post-award meetings as required
- ❖ Accomplish necessary training to support the O&M functions.

5.5.2 Phase-Out Period

Sixty calendar days prior to the completion of this contract (to include option periods), an observation period shall occur, at which time management personnel of the incoming workforce may observe operations and performance methods of the incumbent contractor.

This will allow for orderly turnover of facilities, equipment, and records and will help to ensure continuity of service. The Contractor shall not defer any requirements for the purpose of avoiding responsibility or of transferring such responsibility to the succeeding contractor. The Contractor shall fully cooperate with the succeeding contractor and the Government so as not to interfere with their work or duties.

5.5.3 Phase-Out Plan

The Contractor shall develop a Phase-Out Plan to affect a smooth and orderly transfer of contract responsibility to a successor. The plan shall fully describe how the Contractor shall, at a minimum, approach the following issues: employee notification; retention of key personnel; turn-over of work-in-progress, inventories, and Government property; removal of Contractor property; data and information transfer; and any other actions required to ensure continuity of operations. The Contractor's Phase-Out Plan shall, at a minimum, require an inventory by the incumbent and the Government before conduct of a joint inventory between the incumbent and the successor. The Plan shall, at a minimum, also include: reconciliation of all property accounts, requisitions, and work-in-progress; turn-in of excess property; clean-up of Contractor work areas; provision for training of the successor's personnel on Government furnished information systems used in performance of this contract, specialized equipment, utilities systems, and ongoing work that the successor would be required to complete; and, security debriefings in accordance with FSA security procedures for incumbent personnel holding security clearances.

5.6 IT Contingency Planning & Continuous Security Authorization Support

The Contractor shall support contingency planning, disaster recovery planning and testing at the Virtual Data Center (VDC), and continuous security authorization activities for the AEDS Major Application (MA). Descriptions of these activities follow.

5.6.1 Contingency Planning

The Contractor shall document the contingency planning activities for the successful recovery of the AEDS MA in the event of an unplanned system outage that does not require relocation to an alternate site. These activities shall be documented and updated annually and/or if there are substantial infrastructure changes, in the AEDS MA IT Contingency Plan and CPS Business Impact Analysis. System components documented in these plans shall include all CPS' components:

- Eligibility Determination
- FOTW,
- FAA Access to CPS Online (IA Tools and R2T4)
- IDC,
- BI Tool/OLAP,
- Participation Management (Mainframe, PM-DocMngt and Web (FSAWebenroll),
- FSAdownload,

- EDExpress Suite, and
- AEDS Print Operations

The AEDS MA IT Contingency Plan shall be tested annually and test results documented in CPS' CP Test Plan Result, and/or if there are substantial infrastructure changes, by the Contractor and each applicable subcontractor.

5.6.2 Disaster Recovery Testing Support and Participation

In support of the annual CPS/AEDS disaster recovery test at the VDC, the Contractor shall participate in and support to include pre-planning initiatives through post exercise documentation. FSA and the VDC contractor, as the General System Support (GSS), in performing the services required for the test and recovery of the AEDS MA components. The AEDS MA system boundary and in place security controls shall be documented in the AEDS MA System Security Plan. Disaster recovery procedures shall be documented in the AEDS MA Disaster Recovery Plan (only if housed outside of the VDC). The disaster recovery test shall be performed on the AEDS production, development, and test environments. The test shall cover the requirements for restoring Direct Access Storage Device (DASD) and tape to a point-in-time, as well as validating the DB2 databases for the appropriate application cycle. The VDC contractor restores backups and verifies data integrity and system connectivity for the AEDS MA (for example, BI Tool, FAA Access, FOTW, PM—Mainframe and Web, and Eligibility Determination). However, the Contractor shall support the VDC contractor's verification procedures including:

- ❖ Pre-Validation Procedures
- ❖ Validation/Verification/Testing Procedures
- ❖ Resumption of Production Procedures
- ❖ Validation/Verification/Testing of the Development and Test Database Procedures

The Contractor shall provide a completed disaster recovery test checklist and disaster recovery issue log at the conclusion of the test.

5.6.3 Continuous Security Authorization

The Contractor and its subcontractors shall support FSA's continuous security authorization process. The Contractor's continuous security authorization scope shall be based on the current AEDS MA boundary and the National Institute of Standards (NIST) Special Publication (SP) 800-53, Revision 4, controls documented in the current AEDS MA SSP. In support of this process, the Contractor shall provide the FSA security authorization contractor with evidential documentation to support each control tested, as applicable to the Contractor, when requested. Further, the Contractor shall address, within a mutually acceptable time period, any applicable findings or deficiencies found as a result of these tests during the 12 quarters leading up to the Security Authorization Report and Authority to Operate (ATO).

Quarterly vulnerability scans for the servers in the AEDS MA boundary managed by the Contractor shall be conducted by the Contractor and its subcontractors and the results provided to FSA within the Contractor's quarterly scan report. These components shall

include: PM-DocMngt, IDC, and CPS Print Operations. In addition, the Contractor shall support the vulnerability scanning activities conducted on the AEDS MA components hosted on servers at the VDC. These components shall include: BI Tool/Online Analytical Processor (OLAP), FAA Access to CPS Online, FOTW including FAFSA4caster, PM (Mainframe and Web—FSAdownload and FSAWebenroll), EDExpress Suite, and Eligibility Determination.

5.7 Change Management

Changes to the AEDS operations system components, whether they are initiated by FSA or by the Contractor, shall follow the Change Request process established by FSA. For changes initiated by the Contractor, once the internal analysis has been completed, a Change Request and accompanying assessment document shall be provided to the appropriate business owner for submission to FSA's Change Management Division. These changes shall be assessed by FSA according to the following established criteria:

- ❖ Don't violate any statutory/legislative requirement.
- ❖ Don't violate any Department regulatory requirement.
- ❖ Don't negatively impact the user experience as measured by the Customer Satisfaction Score (C-SAT) in a significant way.
- ❖ Don't introduce significant risk or expense to the Department; for example, unplanned infrastructure costs or performance impacts.
- ❖ Don't create significant scheduling or resource risk to mandatory Task 1 initiatives.
- ❖ Won't have a substantial negative impact on any other Department system or business process.

FSA shall provide the approval or rationale for denial to the Contractor. For changes initiated by FSA, the Contractor shall provide an assessment to FSA, which FSA shall evaluate to determine if the change shall be approved or the request canceled.

Each proposed change shall be documented and assessed for level of effort and schedule, and an FSA representative shall give the final approval for implementation of the change before the change is put into production. Each change record shall contain the number of hours estimated for the effort. Once a change request (of either type) is approved (and funded, if needed), the Contractor shall implement it, using its own configuration control process, which shall be documented and shared with FSA upon request.

6 General Requirements

6.1 Period of Performance

The period of performance will be for five (5) year.

- ❖ Year I
- ❖ Year II
- ❖ Year III
- ❖ Year IV

6.2 Type of Contract

The Government anticipates award of a firm fixed priced contract for the operations and maintenance of the AEDS with separate, fixed-unit line items for certain work categories, except for conference support which is and time-and-materials in regards to travel expenses.

6.3 Place of Performance

The work to be performed under this contract shall be at FSA facilities, as well as Contractor facilities.

6.4 Hours of Operation

The Contractor is responsible for conducting business, between the hours of 8 am and 8 pm ET, Monday thru Friday, or as directed by FSA, except federal holidays or when the Government facility is closed due to local or national emergencies, administrative closings, or similar Government directed facility closings. For other than firm fixed price contracts, the Contractor will not be reimbursed when the Government facility is closed for the above reasons. The Contractor must at all times maintain an adequate workforce for the uninterrupted performance of all tasks defined within this PWS when the Government facility is not closed for the above reasons. When hiring personnel, the Contractor shall keep in mind that the stability and continuity of the workforce are essential.

The Contractor shall accomplish the work on the workday following or preceding a recognized federal holiday. The ten federal holidays per year are as follows:

	Holiday Name	Holiday Date
1.	New Year's Day	First day of January (or observed)
2.	Martin Luther King, Jr. Birthday	Third Monday of January
3.	Presidents Day	Third Monday of February
4.	Memorial Day	Last Monday of May

5.	Independence Day	Fourth day of July (or observed)
6.	Labor Day	First Monday of September
7.	Columbus Day	Second Monday of October
8.	Veterans Day	11th day of November (or observed)
9.	Thanksgiving Day	Fourth Thursday of November
10.	Christmas Day	25th day of December (or observed)

When such holidays fall on a Saturday, the proceeding Friday will be considered a holiday. When such holidays fall on a Sunday, the succeeding Monday will be considered a holiday.

6.4 Contracting Officer Representative (COR)

A letter of designation issued to the COR, a copy of which is sent to the Contractor, states the responsibilities and limitations of the COR, especially with regard to changes in cost or price, estimates or changes in delivery dates. The COR monitors all technical aspects of the Contract and assists in contract administration. The COR is authorized to perform the following functions: assure that the Contractor performs the technical requirements of the Contract; perform inspections necessary in connection with contract performance; maintain written and oral communications with the Contractor concerning technical aspects of the Contract; issue written interpretations of technical requirements, including Government drawings, designs, specifications; monitor Contractor's performance and notify both the Contracting Officer and the Contractor of any deficiencies; coordinate availability of government furnished property/equipment/information; and provide site entry of Contractor personnel. The COR is not authorized to change any of the terms and conditions of the resulting order.

6.5 Quality Control

The Contractor shall develop and maintain an effective quality control (QC) program to ensure services are performed in accordance with this PWS. The Contractor shall develop and implement procedures to identify, prevent, and ensure non-recurrence of defective services. The Contractor's QC processes and procedures are the means by which the Contractor assures himself that his work complies with the requirements of the Contract. After acceptance of the Quality Control processes and procedures, the Contractor shall receive the Contracting Officer's acceptance in writing of any proposed change to his QC program.

6.6 Quality Assurance

The Government will evaluate the Contractor's performance under this contract in accordance with the Quality Assurance Surveillance Plan (QASP). This plan is primarily focused on what the Government must do to ensure that the Contractor has performed in accordance with the performance standards. It defines how the performance standards will be applied, the frequency of surveillance, and the minimum acceptable defect rate(s).

6.7 Security Requirements

Contractor personnel performing work under this contract must have at least a Level 5 or 6C security clearance at time of the proposal submission, and must maintain the level of security required for the life of the Contract. The security requirements are in accordance with the attached DD254. To gain access to the Federal Student Aid facility, programs, and systems the Contractor's employees and its subcontractor employees are required to obtain a security clearance. Contractor and subcontractor employees who perform the assessment of IT security and general computer controls are required to have or obtain high-risk (6c) security clearances (e.g., top secret clearance).

6.7.1 Physical Security

The Contractor shall be responsible for safeguarding all government property, equipment, and information provided for the Contractor's use. At the close of each work period, government facilities, equipment, and materials shall be secured. The Contractor shall take appropriate government-prescribed security measures to ensure systems and other government property is stored and installed in accordance with security guidelines and applicable regulations. The Contractor shall notify the Government any time the Contractor moves any Government furnished equipment.

6.7.2 Identification of Contractor Employees

All contract personnel attending meetings, answering Government telephones, and working in other situations where their contractor status is not obvious to third parties are required to identify themselves as such to avoid creating an impression in the minds of members of the public that they are Government officials. Contractors must also ensure that all documents or reports produced are suitably marked as contractor products or that contractor participation is appropriately disclosed.

6.8 Data Rights

The Government has unlimited rights to all documents/material produced under this contract. All documents and materials, to include the source codes of any software, produced under this contract shall be Government owned and are the property of the Government with all rights and privileges of ownership/copyright belonging exclusively to the Government. These documents and materials may not be used or sold by the Contractor without written permission from the Contracting Officer. All materials supplied

to the Government shall be the sole property of the Government and may not be used for any other purpose. This right does not abrogate any other Government rights.

During the performance of this contract, the Contractor shall create and maintain databases, information, and other materials that are used to support operations (e.g., knowledge database, process flow diagrams, FAQs, preformatted responses, business rules, training materials, and other standard operating procedures). Periodically, the Government may request the Contractor to provide a copy of such databases, information, and other materials. The Contractor shall furnish the requested information in electronic format within 10 business days of written notification by FSA. The Government retains ownership of all databases, information, and other materials developed by the Contractor in support of this contract at all times. At the completion of this contract, all information resources developed in support of the Contract shall be turned over to the Government in its entirety in accordance with Section H.25 of the base contract.

6.9 Organizational Conflict of Interest

Contractor and subcontractor personnel performing work under this contract may receive, have access to or participate in the development of proprietary or source selection information (e.g., cost or pricing information, budget information or analyses, specifications or work statements, etc.) or perform evaluation services which may create a current or subsequent Organizational Conflict of Interests (OCI) as defined in FAR Subpart 9.5. The Contractor shall notify the Contracting Officer immediately whenever it becomes aware that such access or participation may result in any actual or potential OCI and shall promptly submit a plan to the Contracting Officer to avoid or mitigate any such OCI. The Contractor's mitigation plan will be determined to be acceptable solely at the discretion of the Contracting Officer and in the event the Contracting Officer unilaterally determines that any such OCI cannot be satisfactorily avoided or mitigated, the Contracting Officer may effect other remedies as he or she deems necessary, including prohibiting the Contractor from participation in subsequent contracted requirements which may be affected by the OCI.

The Contractor shall obtain COR approval before releasing any information that has been stored, generated, or archived related to this contract to the Contractor's corporate or other off-site offices, to other Government activities or agencies, to other contractors, or to private parties.

All records, files, reports, and data deemed proprietary by the Contractor should be clearly marked accordingly. The Government shall make the final determination of the appropriateness of proprietary claims by the Contractor.

6.10 Contractor Personnel

The Contractor shall provide qualified supervisory, technical, quality control, administrative, and clerical personnel to accomplish all work and services required by this Contract within specified time frames. Staffing will be adequate to execute work in a timely manner from receipt of the work request document to completion of the effort. This

provision shall apply notwithstanding past historical records, estimates of personnel needed, or any minimum levels established elsewhere in this Contract. Contractor employees shall be trained, qualified, certified, or licensed as required in this Contract prior to starting work. The Government will not provide initial skills training to Contractor employees. The Contractor shall maintain records of training qualifications, certifications, and licenses and shall comply with host nation and local requirements for such documentation. The Contractor shall maintain the workforce in such a manner as to ensure that the employees remain fully qualified to perform the work assigned.

6.10.1 Personnel Plan

The Contractor shall submit a Personnel Plan. The Contractor shall identify and clearly define authority of all personnel under the Contractor's organization and include an organization chart with the Personnel Plan. The Contractor shall provide resumes and educational degrees for site managers assigned to this contract. The Personnel Plan shall be updated 15 days prior to contract start and locator information for key contractor personnel shall be annotated – i.e., name, title, address, phone number. This locator information shall be updated when changes occur and provided to the COR. Personnel performing under this Contract shall be employees of the Contractor and not the Government.

6.10.2 Contractor Employee Report

The Contractor shall provide a report listing all Contractor employees. "The Contractor Employee Report" will provide the following information pertaining to each employee:

- ❖ Name
- ❖ Position, Organization, Installation
- ❖ Trade, Labor Category
- ❖ Certifications
- ❖ Date Hired

The Contractor shall submit the Contractor Employee Report 15 days prior to contract start. Changes shall be submitted to the COR monthly and a new Report submitted annually. The Contractor shall maintain the report accurately throughout the term of the Contract and provide interim updates when requested by the COR.

6.10.3 Certifications

The Contractor shall ensure that all specialized services, those requiring special certification, be executed by qualified personnel. The Contractor shall provide the COR with copies of certificates 15 calendar days before performance start.

6.10.4 Contractor Travel

Contractor will be required to travel CONUS and within the National Capitol Region (NCR) during the performance of this contract to attend meetings, conferences, and training. The contractor may be required to travel to off-site training locations and to ship training aids to these locations in support of this PWS. Contractor will be authorized travel

expenses consistent with the substantive provisions of the Joint Travel Regulation (JTR) and the limitation of funds specified in this contract. All travel requires Government approval/authorization and notification to the COR.

6.10.5 Other Direct Costs

<<This category includes travel, reproduction, and shipping expenses associated with training activities and visits to contractor facilities. It also includes the renting of suitable training venues, as approved by the government. >>

6.11 Post Award Conference/Periodic Progress Meetings

The Contractor agrees to attend any post award conference convened by the contracting activity or contract administration office in accordance with Federal Acquisition Regulation Subpart 42.5. The Contracting Officer, Contracting Officers Representative (COR), and other Government personnel, as appropriate, may meet periodically with the Contractor to review the Contractor's performance. At these meetings the Contracting Officer will apprise the Contractor of how the Government views the Contractor's performance and the Contractor will apprise the Government of problems, if any, being experienced. Appropriate action shall be taken to resolve outstanding issues. These meetings shall be at no additional cost to the Government.

6.12 Inspection and Acceptance

6.12.1 Scope of Inspection

All deliverables will be inspected for content, completeness, accuracy and conformance to task order requirements by the COR. Inspection may include validation of information or software through the use of automated tools and/or testing of the deliverables, as specified in the task order. The scope and nature of this testing must be negotiated prior to task order award and will be sufficiently comprehensive to ensure the completeness, quality and adequacy of all deliverables.

The Government requires a period not to exceed fifteen (15) business days after receipt of final deliverable items for inspection and acceptance or rejection.

6.12.2 Basis of Acceptance

The basis for inspection/acceptance shall be compliance with the requirements set forth in the task order, the Contractor's proposal and other terms and conditions of the Contract including the Government Quality Assurance Surveillance Plan (QASP). Deliverable items rejected shall be corrected in accordance with the applicable clauses.

Reports, documents and narrative type deliverables will be accepted when all discrepancies, errors or other deficiencies identified in writing by the Government have been corrected.

If the draft deliverable is adequate, the Government may accept the draft and provide comments for incorporation into the final version. All of the Government's comments on deliverables must either be incorporated in the succeeding version of the deliverable or the Contractor must demonstrate to the Government's satisfaction why such comments should not be incorporated.

If the Government finds that a draft or final deliverable contains spelling errors, grammatical errors, improper format, or otherwise does not conform to the requirements stated within this task order, the document may be immediately rejected without further review and returned to the Contractor for correction and resubmission. If the Contractor requires additional Government guidance to produce an acceptable draft, the Contractor shall arrange a meeting with the KO/COR.

6.12.3 Written Acceptance/Rejection by the Government

The Government shall provide written notification of acceptance or rejection of all final deliverables within fifteen (15) business days. All notifications of rejection will be accompanied with an explanation of the specific deficiencies causing the rejection.

6.12.4 Non-Conforming Products or Services

Non-conforming products or services will be rejected. Deficiencies will be corrected by the Contractor within ten (10) business days of the rejection notice. If the deficiencies cannot be corrected within ten (10) business days, the Contractor shall immediately notify the COR of the reason for the delay and provide a proposed corrective action plan within ten (10) business days.

7 Key Personnel

The following are considered key personnel by the Government:

- ❖ Program Manager
- ❖ Project Manager
- ❖ Operations Lead
- ❖ Systems Architect/Engineering Lead
- ❖ Quality Control Manager

7.1 Program Manager

The Program manager shall be responsible for governance, alignment, assurance, management, integration, optimization, tracking, finances, infrastructure, planning, and improvement. The Program Manager shall provide supervision of multiple IT projects. He/She shall be the head of the program, and therefore shall perform liaison activities with management and stakeholders.

The Program Manager shall also provide supervision of the overarching structure, processes and procedures to accomplish program objectives, which include metrics of success and deliverables to successful completion of projects for program objectives.

7.2 Project Manager

The Project Manager (PM) shall be responsible for identifying, organizing and leading a team in order to accomplish the business objectives of FSA. The PM shall be responsible for planning and execution of FSA's projects in line with the LMM and for communications between customer, IT, and stakeholders. Other responsibilities include:

- Facilitating the definition of project scope, goals and deliverables
- Defining project tasks and resource requirements
- Developing full scale project plans
- Assembling and coordinating project staff
- Managing project budget
- Managing project resource allocation
- Planning and schedule project timelines
- Tracking project deliverables using appropriate tools
- Providing direction and support to project team
- Providing and managing quality assurance
- Constantly monitoring and reporting on progress of the project to all stakeholders
- Presenting reports defining project progress, problems and solutions
- Implementing and managing project changes and interventions to achieve project outputs
- Managing project evaluations and assessment of results

7.3 Operations Lead

The Operation Lead shall direct and coordinate the operations of IT activities. The Operations Lead shall be responsible for ensuring and improving the performance, productivity and efficiency of all software and infrastructure environments through the provision of effective methods and strategies. The Operations Lead shall also coordinate all software deployment and maintenance activities.

Main job tasks include:

- Coordinating, managing and monitoring the workings of various IT software and Infrastructure.
- Improving processes and policies in support of organizational goals; formulating and implementing departmental and organizational policies and procedures; and monitoring adherence to rules, regulations and procedures (LMM).
- Managing the maintenance of software and infrastructure.
- Assisting in the development of strategic plans for operational activity, and implementing and managing operational plans.

7.4 Systems Architect/Engineering Lead

The Engineering Lead shall provide overall technical leadership and consultation to FSA. He/She shall implement FSA's business strategy and then define information technology systems architecture to support that strategy. The Engineering Lead shall be responsible for engineering the software and ensuring the stability of the infrastructure.

7.5 Quality Control Manager

The Quality Control Manager shall be responsible for directing the activities of the quality control team, ensuring work accuracy and effective production of quality product and services. QCM shall ensure that products and services of FSA are reliable and of topmost quality. The QCM shall also document findings of improvements and faults in the software and services. The QCM shall give major attention to various aspects of the products such as design, research and development.

8 Government Furnished Property/Equipment/Information

FSA shall provide the Government furnished or other contractor furnished property, equipment, and information necessary for delivery of the current AEDS operations including:

- ❖ Inbound and outbound phone lines
- ❖ Toll-free and toll phone numbers
- ❖ Point-to-point phone connections
- ❖ Printed publications from GPO, including envelopes
- ❖ Electronic publications
- ❖ Student Aid on the Web site
- ❖ NSLDS Web site
- ❖ IFAP Web site
- ❖ Closed school search
- ❖ CPS database
- ❖ FAFSA on the Web demonstration site
- ❖ School code lookup
- ❖ VDC image repository for viewing FAFSAs, SARs, and signature page images

9 Contractor Furnished Property and Equipment

The Contractor shall be responsible for the following:

- ❖ Hiring and training adequate staff
- ❖ Submitting timely security clearance documentation for new employees
- ❖ Supplying and maintaining the necessary equipment including PCs, phones, and headsets
- ❖ Requesting additional FTS 2001 lines when necessary from the COR
- ❖ Providing the facilities to fulfill the requirements of the Contract

The Contractor's performance, in part, is dependent on several factors and actions of others outside of the Contractor's control. The Contractor shall not be responsible for sub-standard performance when any of the following occur:

- ❖ Failure to receive authorized security clearance and access to databases within 15 work days for (5C) clearance level and 45 work days for (6C) clearance level of clearance requests submitted to FSA
- ❖ Failure to install requested FTS 2001 lines within 90 days of request
- ❖ Failure to have access to and quick response times from the following databases (these databases are operated by the VDC contractor and the Contractor shall assume the access and response times for them will be within the Service Level Agreement set for the VDC contract):
 - CPS
 - NSLDS
 - Any new databases the Contractor must access throughout the life of the Contract

- ❖ FSA initiatives and legislation affecting Federal Student Aid that impact volumes or customer service delivery system requirements

10 Attachment / Technical Exhibit Listing

10.1 Attachment 1: AEDS As-Is Requirements

10.2 Attachment 2: Deliverables

10.2.1 Project Management Deliverables

Milestone	Deliverable	Frequency	Format
Project Kickoff	Project Kickoff Meeting Minutes	Once	E-mail
Kickoff & Ongoing	Project Management Plan	Ongoing	Electronic Word Document
Status Meetings	Status Meeting Minutes	Monthly/Quarterly	E-mail
Status Meetings	Status Report	Monthly/Quarterly	Electronic Word Document
Substantive Findings	Written responses to all substantive findings	Ongoing	Electronic Word Document
Non-Substantive Findings	Written responses to all nonsubstantive findings	Ongoing	Electronic Word Document

10.2.2 Status Reports

The Contractor shall provide the following status reports:

	Report	Description of the Report	Report Frequency	Format
1	Executive Summary Report	Provides Application Processing Statistics; CPS/SAIG Service Levels	Weekly	E-mail

	Report	Description of the Report	Report Frequency	Format
2	Eligibility Status Report	Provides weekly reports which may include weekly volumes, notice of any continuing problems, status of on-going projects, and issues/questions awaiting resolution	Weekly	Electronic Word document
3	Web Status Report	Provides weekly reports which may include weekly volumes, activities completed, notice of any continuing problems, status of on-going projects, and issues/questions awaiting resolution	Weekly	Electronic Word document
4	PC Status Report	Provides weekly reports which may include weekly testing statistics, activities completed, notice of any continuing problems, status of on-going projects, and issues/questions awaiting resolution	Weekly	Electronic Word document
5	Participation Management Status Report	Provides weekly status of FSA Support including Enrollment Statistics, Download Postings, Most Downloaded Files, CM counts, and Survey Results	Weekly	Electronic Word document
6	CPS/SAIG Help Desk Report	Provides a summary of call volumes, answer rates, call topics, customer satisfaction scores, help desk training, events, and highlights	Monthly	Electronic Word document
7	Federal Pell Grant End of Year Report	Provides statistics for the Federal Pell Grant Program	Yearly	Hard copy spiral bound book; CD and e-mail
8	Security Incidents Report	Lists any security incidents and other security events and status of Security Assessments	Monthly	Electronic Word document
9	Operations Status Review	Reports on delivery status, application volumes, milestone dates, and production issues	On request	PowerPoint presentation by e-mail
10	SLAs/KPIs Report	Reports on the monthly status of KPIs / SLAs.	Monthly (5 business days after the end of the month)	Electronic Word document

10.2.3 System and User Documentation

The following table lists the AEDS system and user documentation that the Contractor is required to develop and maintain. All system and user documentation shall comply with the LMM noted in section 5.1.2 for the AEDS system and EDExpress.

Document Type	Document Name	Requires Customer Review & Signoff	Frequency of Delivery	Deliverable Format
System	Elicitation of Requirements Documents	No	Annually	Electronic Word document
System	Requirements Tracking Summaries	Yes	Annually	Electronic Word document
System	Customer Requirements Documents	Yes	Annually	Electronic Word document
System	Functional Specifications	Yes	Annually and as major updates occur.	Electronic Word document
System	Help Text Documents	Yes	Annually	Electronic Word document
System	High Level Design	No	Annually	Electronic Word document
System	Detail Design Documents (Change Logs)	Yes	Annually	Electronic Word document
System	User Acceptance Test Plans	Yes	Annually	Electronic Word document
System	System Test Procedures/Test Cases	No	Annually	Electronic Word document
System	Detailed Work and Management Plan	No	Annually	Electronic Word document
System	CPS Procedure Manual	Yes	Annually and as major updates occur.	Electronic Word document and/or electronic PDF document

Document Type	Document Name	Requires Customer Review & Signoff	Frequency of Delivery	Deliverable Format
System	AEDS Software Configuration Management Charter	Yes	Annually	Electronic Word document
System	Quality Assurance/Quality Control processes and procedures	No	Provided, upon request	Electronic Word document or as available
System	Participation Management System Documentation	No	Annually	CD
System	Archived ISIRs User Guide	No	Annually	CD
System	CPS Business Impact Assessment	Yes	Annually	Electronic Word document
System	CPS MA IT Contingency Plan	Yes	Annually	Electronic Word document
System	FSAIC IT Contingency Plan	Yes	Annually	Electronic Word document
System	CPS MA Disaster Recovery Plan	Yes	Annually	Electronic Word document
System	CPS MA System Security Plan	Yes	Annually	Electronic Word document
System	FSAIC System Security Plan	Yes	Annually	Electronic Word document
System	CPS Master Schedule	No	Weekly	Microsoft Project and PDF
User	EDE Technical Reference (August Draft [Software Developers] and Fall Conference Draft)	Yes	Annually	Electronic PDF document
User	Packaging Technical Reference	Yes	Annually	Electronic PDF document

Document Type	Document Name	Requires Customer Review & Signoff	Frequency of Delivery	Deliverable Format
User	COD Technical Reference (Combo System Volume TOC and Sections 1-4, DL Tools Volume TOC and Sections 1-4)	Yes	Bi-Annually	Electronic Word document
User	Summary of Changes for the Application Processing System guide	Yes	Annually	Electronic PDF document
User	CPS Test System User's Guide	Yes	Annually	Electronic PDF document
User	EFC Formula Guide	Yes	Annually	Electronic InDesign document and electronic PDF document
User	ISIR Guide	Yes	Annually	Electronic PDF document
User	SAR Comment Codes and Text Guide	Yes	Annually	Electronic PDF document
User	ISIR Comment Codes and Text flat ASCII file	No	Annually	Flat ASCII file
User	EDEExpress for Windows Cover Letters (Release 1 and Release 2 versions)	Yes	Annually	Electronic PDF document
User	EDEExpress for Windows Installation Guide	Yes	Annually	Electronic PDF document
User	EDEExpress for Windows Desk References (Release 1 and Release 2 versions)	Yes	Annually	Electronic PDF document
User	DL Tools Cover Letter	Yes	Annually	Electronic PDF document
User	DL Tools Installation Guide	Yes	Annually	Electronic PDF document

Document Type	Document Name	Requires Customer Review & Signoff	Frequency of Delivery	Deliverable Format
User	EDExpress for Windows Help Text	Yes	Annually for R1 and R2	RoboHelp files released as component of EDExpress
User	DL Tools Help Text	Yes	Annually	RoboHelp files released as component of DL Tools
User	FAA Access to CPS Online Help Text	Yes	Annually	HTML files released as component of FOTW
User	FAFSA on the Web Help Text (English and Spanish versions)	Yes	Annually	HTML files released as component of FOTW
User	ISIR Analysis Tool on the Web Help Text	Yes	Annually	HTML files posted on FAA Access to CPS Online
User	Contractor's Network, Other Than SAIG, Connectivity Plan	Yes	Annually	Electronic Word document
User	Student Aid Internet Gateway (SAIG) Connectivity Plan	Yes	Annually	Electronic and Hard Copy/Manual Word Document
User	Application Processing System Specifications for Software Developers	Yes	Annually	Electronic PDF file posted to FSAdownload Web site
User	Network Message/P-Message/Electronic Announcement	Yes	As needed for Annual Releases	Electronic Word document

Document Type	Document Name	Requires Customer Review & Signoff	Frequency of Delivery	Deliverable Format
User	FOTW Screenshots	Yes	Annually	Electronic PowerPoint document posted to the Information for Financial Aid Professionals (IFAP) Web site
User	FOTW Worksheet (English and Spanish)	Yes	Annually	Electronic InDesign files on CD and as a print-ready PDF file
User	Student Aid Eligibility Worksheet (English and Spanish)	Yes	Annually	Electronic PDF file
User	FAFSA PDF (English and Spanish)	Yes	Annually	Electronic PDF file
User	Paper FAFSA (English and Spanish)	Yes	Annually	Electronic InDesign files on CD and as a print-ready PDF file
User	Federal Pell Grant Early End of Year Report	Yes	Annually	ASCII file through SAIG
User	Federal Pell Grant End of Year Report	Yes	Annually	EBCDIC file through SIAG and Excel worksheets
System	CPS System Test Plan	Yes	Annually	Electronic Word document
System	Project Test Plans (each major release or subsystem)	No	Annually	Electronic Word document
System	Requirements Traceability Matrix	No	Annually	Electronic Excel document
System	IRS Statistical Study	Yes	Annually	Electronic Word document

Document Type	Document Name	Requires Customer Review & Signoff	Frequency of Delivery	Deliverable Format
System	Verification Analysis	?	Annually	Electronic Word document
System	CPS Requirements Analysis	?	Annually	Electronic Word document
System	ICD	No	Annually	Electronic Word document

10.3 Attachment 3: AEDS SLAs/KPIs

The following table summarizes the AEDS service levels / key performance indicators across all areas of the Application and Eligibility Determination System.

Area	Service Level / Key Performance Indicator
Annual Development	
New Cycle Availability	Annual release for AEDS shall be implemented no later than January 1 of each year.
Production and IT Maintenance	
Compute Processing w/ External Matching	Not to exceed 72 hours from receipt of record at Eligibility Determination component to transmission of processed record output, measured monthly.
Compute Processing w/o External Matches	Real time, measured monthly.
Availability	Production systems hosted by the Contractor shall be available 99.5% of the time, calculated over a quarter.
Timely Trouble Ticket Management - Critical	Critical issues (issues causing processing to stop) shall be 95% assessed and proposed resolution date provided within next business day.
Timely Trouble Ticket Management - High	High severity issues (issues impacting the processing of one or more users) shall be 95% assessed and proposed resolution date provided within three business days.
Timely Trouble Ticket Management - Medium	95% of Medium severity issues (issues impacting slight degradation in service) shall be assessed and proposed resolution date within 5 business days.
Timely Issue Resolution	For Critical and High categorized Trouble Tickets, the Contractor shall have resolution production ready by the targeted resolution date 95% of the time.
IDC	
Turnaround Times for Document Processing	<ul style="list-style-type: none"> ❖ FAFSAs: Average of 7 business days or less, measured monthly. ❖ SARs: Average of 4 business days or less, measured monthly. ❖ Signature Pages: Average of 3 business days or less, measured monthly. ❖ Correspondence: Average of 4 business days or less, measured monthly.

Area	Service Level / Key Performance Indicator
Field Level Accuracy per 100,000 fields	99% for critical fields and 96% for non-critical fields, measured quarterly.
Email Processing	
Turnaround Times for Email of Key Notifications	SAR notifications emailed 1-3 business days after application completes processing.
Printing and Mailing	
Turnaround Times for Mailing Key Letters	SARs and SAR Acknowledgements mailed within 4 business days from receipt of request from CPS.
CPS/SAIG Technical Help Desk	
Customer Satisfaction	Customer Satisfaction Survey: 85% of participants rate service 4 or higher on 5-point scale.
Live Answer Percentage	95% of calls offered to agents answered live.
Prompt Answer Percentage	80% of calls answered in 20 seconds.
Accuracy	98% accuracy (contacts not requiring follow-up contact).
FSATech Speed of Response	Provide initial response to 100% of FSATech List Serve postings within one business day.
Ancillary Services	
Incoming Mail Processing	Turnaround time for processing incoming mail and forwarding paper promissory notes after receipt to imaging to be indexed shall not exceed 24 hours, average measured monthly.
Promissory Notes Processing	Turnaround time for processing promissory notes after receipt from the mailroom shall not exceed two (2) business days, average measured monthly.
Status Reporting	
Timely Disincentives / KPIs Reporting	Report all disincentives/KPIs by the 5th business day of the following month.
Timely Status Reporting	Submit 100% of the status reports (listed in Section 10.2.2) at the specified reporting frequency.

Area	Service Level / Key Performance Indicator
Special Project/Initiative: Project to Improve Accuracy of Student Data	
Incorrect Awards	The number of Pell incorrect payments (determined by a periodic comparison of Pell applicant data to IRS data) reduced by 3 percent each year.

10.4 Attachment 4: Disincentives

The Government may assess disincentives against the Contractor for certain, lower levels of performance as prescribed in this clause. Both parties understand and agree that the value of some of the work performed under this Contract depends on how soon it is delivered and how well it meets certain performance standards. Timely, satisfactory performance is of great importance to the Government, to the users of Government services and to the taxpayer. These disincentives were jointly adopted so that the prices paid by the Government will reflect the true value of the services actually delivered by the Contractor. The parties agree that the disincentives in this clause are not in the nature of penalties or otherwise inappropriate.

- ❖ Any disincentive assessed under this clause shall be applied against invoiced amounts otherwise due. If the amount of the disincentive exceeds the invoiced amount, no payment shall be due and the remainder of the disincentive shall be assessed against the next invoice. No payment shall be due until the full amount of disincentives has been credited.
- ❖ Any disincentive under this clause shall be in addition to other compensation due to, or other assessment against, the Contractor under any other clause or other provision of law.
- ❖ There shall be no disincentives assessed for performance failures that were beyond the control of the Contractor and also beyond the control its subcontractors at any tier.
- ❖ The Government does not waive, and fully reserves, its right to inspect and reject any deliverable or any work performed under this Contract, as provided by law and other terms of this Contract. Neither the Government nor the Contractor waives any right to pursue any remedy, claim, defense, award or compensation permitted or required by law and other terms of this Contract.
- ❖ In case the Contract award is delayed, each performance period calculated from the date of award of this Contract shall be extended (and the incentive and disincentive duly adjusted) by the number of calendar days that the date of award is delayed by.
- ❖ The parties annually may attempt to add new incentives and/or disincentives or negotiate revisions to this clause, including but not limited to revised performance standards and adjustments to the incentives and disincentives rates. However, failure to reach an agreement shall in no way impair the applicability and enforcement of this clause, as it exists prior to any such attempted negotiation.
- ❖ Should any part of this clause or any specific disincentive be deemed to be unenforceable, the rest of the clause and disincentives shall remain valid and fully enforceable.

Annual Release Disincentive

Metric	Explanation/ Assumption	Frequency/ Start Date	Incentive/ Disincentive
Application Annual Release: The annual release for CPS is to be implemented no later than January 1 of each year.	The application system must be in production no later than January 1 each year to allow students to begin filing for financial aid. A disincentive will be applied if the system is not in production as of January 1.	Annually and each year thereafter.	Disincentive: A disincentive is applied if the application functionality is not implemented on January 1 - \$50,000/calendar day, Annual cap of \$250,000.00.

10.5 Attachment 5: CPS/SAIG Customer Satisfaction Surveys

CPS/SAIG Help Desk Customer Satisfaction Survey

- ❖ On a scale of 1 to 5, with 5 being very polite, how do you rate the courtesy of the representatives?
- ❖ On a scale of 1 to 5, with 5 being very satisfied, how do you rate how quickly your call or e-mail was answered?
- ❖ On a scale of 1 to 5, with 5 being excellent, how do you rate the overall customer service you received?
- ❖ Do you have any other comments about the CPS/SAIG customer service?

10.6 Attachment 7: Acronyms & Definitions

10.6.1 Acronyms

AEDS	Application and Eligibility Determination System
ATO	Authorization to Operate
ATP	Authorization to Proceed
BI	Business Intelligence
BIA	Business Impact Assessment
CAP	Corrective Action Plan
CCB	Configuration Control Board
CO	Contract Officer
COD	Common Origination and Disbursement System
CONUS	Continental United States
COR	Contracting Office Representative
COTS	Commercial off the shelf
CPS	Central Processing System
CRD	Customer Requirements Document
CRM	Customer Relationship Management
CSR's	Customer Service Representative
C-STAT	Customer Satisfaction
CTI	Computer Telephony Integration
DASD	Direct Access Storage Device
DCN	Document Control Number
DDD	Detail Design Document

DHS	Department of Homeland Security
DOJ	Department of Justice
DRP	Disaster Recovery Procedures
ED	US Department of Education
EDE	Electronic Data Exchange
EFC	Estimated Family Contribution
EOCM	Enterprise Operational Change Management
EOY	End of Year
EST	Eastern Standard Time
FAA	Financial Aid Administrator
FAFSA	Free Application for Federal Student Aid
FAQ	Frequently Asked Questions
FOTW	FAFSA on the Web
FRC	Federal Records Center
FSA	Federal Student Aid
FSAAR	Federal Student Aid Acquisition Regulation
FSAIC	FSA Information Center
FTS	Federal Technology Service
GAO	Government Accountability Office
GPO	Government Printing Office
GSA	General Services Administration

IDC	Image and Data Capture
IFAP	Information for Financial Aid Professionals
IRS	Internal Revenue Service
ISIR	Institutional Student Information Record
IT	Information Technology
JTR	Joint Travel Regulation
KPI	Key Performance Indicators
LAN	Local Area Network
LMM	Lifecycle Management Methodology
MA	Major Application
MIS	Management Information System
MPN	Master Promissory Notes
NCR	National Capital Region
NIST	National Institute Of Standards
NSLDS	National Student Load Database System
O&M	Operations and Maintenance
OCFO	Office of the Chief Financial Officer
OCI	Organizational Conflicts of Interest
OLAP	Online Analytical Processing
OMB	Office of Management and Budget
OPE	Office of Post Secondary Education

PIN	Personal Identification Number
PIR	Post Implementation Reviews
PM	Participation Management
PMBOK	Project Management Body of Knowledge
PMP	Project Management Plan
PRR	Production Readiness Reviews
PWS	Performance Work Statement
QA	Quality Assurance
QASP	Quality Assurance Surveillance Plan
QC	Quality Control
QI	Quality Improvement
QM	Quality Monitoring
R2T4	Return of Title IV Funds
RSS	Really Simple Syndication
RTS	Requirements Tracking Summary
SAIG	Student Aid Internet Gateway
SAR	Student Aid Report
SAS	Business Analytics and Intelligence Software
SDLC	System Development Life Cycle
SLA	Service Level Agreements
SP	Special Publication
SSA	Social Security Administration
SSP	System Security Plan

SSS	Selective Service System
STAN	Student Authentication Network
TSR	Technical Support Representative
UAT	User Acceptance Testing

USPS	United States Postal Service
VA	US Department of Veterans Affairs
VDC	Virtual Data Center

10.6.2 Definitions

<u>Key Term</u>	Definition
<u>Ad Hoc Reports</u>	Reports that show particular data requested by the Federal Student Aid office of the Department of Education. See OLAP.
<u>AEDS</u>	An acronym for “Application and Eligibility Determination System.” The scope of the AEDS Operations and Maintenance contract includes all activities that previously made up the “Front-End Business Integration” (FEBI) O&M contract with the exclusion of the PIN Authentication System, Federal Student Aid Information Center (FSAIC), Editorial Services, and the Ombudsman Support function.
<u>AIMS</u>	Access and Identity Management System. Each authorized FSA user is issued a unique FSA User ID and required to establish and maintain a secure password. The FSA User ID and Password authenticate the user’s identity against the AIMS database when the user logs on to FSA Web sites.
<u>Central Processing System (CPS)</u>	The central repository of federal Title IV applicant data. The CPS receives information from Title IV financial aid applicants transmitted from the Image and Data Capture (IDC) processing site, Federal Student Aid Web sites, and EDE schools (through the Web or through their own software). The CPS computes a numerical index, the EFC, which determines student eligibility for Title IV aid. The CPS returns an electronic Institutional Student Information Record (ISIR) containing the results of its computations to each EDE school listed on the student’s application. Where possible, the CPS uses e-mail to notify applicants of Web sites where they can access their results (the Student Aid Report [SAR]) through use of stable data known only to them. The CPS also prints and mails SARs and SAR Acknowledgements to those applicants who do not have valid e-mail addresses, but who do have deliverable mailing addresses.
<u>Common Origination and</u>	The Common Origination and Disbursement System

<u>Key Term</u>	Definition
<u>Disbursement (COD) System</u>	provides a common process for postsecondary schools to request, report, and reconcile Title IV funds.
<u>Compute</u>	In the Central Processing System, the process of applying edits to applicant data and performing calculations to determine an Expected Family Contribution (EFC), which is used in awarding financial aid to students
<u>Configuration Control Board (CCB)</u>	A group comprised of Federal Student Aid and Contractor staff responsible for reviewing proposed system changes and making a decision on whether or not they should be implemented.
<u>Configuration Management (CM)</u>	The systematic process of controlling change in a complex, automated data processing system.
<u>Corrected SAR</u>	A paper Student Aid Report with corrections made by the applicant and submitted to the IDC for processing.
<u>Department of Defense (DOD)</u>	The CPS performs a match with this federal agency to determine if the applicant is the dependent of a service veteran who died as a result of military service in Iraq or Afghanistan after September 11, 2001.
<u>Department of Homeland Security (DHS)</u>	The CPS performs a match with this federal agency to determine if the applicant is a U.S. citizen or a noncitizen eligible for Title IV aid.
<u>Department of Veterans Affairs (VA)</u>	The CPS performs an external match with this federal agency to determine whether the FAFSA applicant is a veteran of the U.S. armed forces.
<u>Destination Point</u>	In the Electronic Data Exchange, the transmitter of Title IV data (applications and/or corrections) through the FAA Access to CPS Online interface with EDEExpress or through third party software. The results of processing (ISIRs) are transmitted to the destination point through the Student Aid Internet Gateway. Can be a postsecondary school servicing one or more schools or a service agent servicing multiple schools.
<u>Direct Loan Tools</u>	The Direct Loan Tools software, a stand-alone component of the EDEExpress Suite software, allows

<u>Key Term</u>	Definition
	schools to rebuild Direct Loan data in EDEExpress and track cash information for each of three award cycles. The software also offers Compare functionality that allows schools to compare their internal data with a report from the Common Origination and Disbursement (COD) system.
<u>EDconnect</u>	PC-based software provided by ED to EDE destination points. EDconnect is the communication software that allows destination points to connect with the SAIG and transmit and receive their electronic financial aid information.
<u>EDEExpress</u>	An integrated software package provided to EDE participants by ED at no charge. It enables participants to enter (through an interface with FAA Access to CPS Online), report, package, and manage all Title IV student financial aid application information using just this one piece of software.
<u>Electronic Data Exchange (EDE)</u>	ED's system of transmitting and receiving financial aid application information with destination points. These destination points are a group of postsecondary schools, third-party servicers, and state agencies connected to the CPS through the Student Aid Internet Gateway. After certification, schools and third-party servicers can send and receive ISIR data and/or make electronic corrections to ISIR data. State agencies can receive ISIR data through the EDE.
<u>Electronic ISIR</u>	EDE destination points designated on the student's application receive this electronic counterpart to the Student Aid Report (SAR). It shows the processing results of FAFSA applications or corrections.
<u>Expected Family Contribution (EFC)</u>	Numeric result of a congressionally approved formula calculation to determine Title IV aid eligibility.
<u>FAA Access to CPS Online</u>	School Financial Aid Administrators (FAAs) have access to their students' FAFSA data on the Web. They are able to perform the following main tasks through FAA Access to CPS Online software:

<u>Key Term</u>	Definition
	<p>View SAR data;</p> <p>Enter a FAFSA or Renewal FAFSA;</p> <p>Correct a processed FAFSA;</p> <p>Continue working on a saved FAFSA;</p> <p>Use an ISIR Analysis tool;</p> <p>Use the Return of Title IV Funds software to calculate and manage the return of Title IV funds; and</p> <p>Request ISIR data from the ISIR Data Mart.</p> <p>Request High School FAFSA Completion data</p>
<u>FAFSA on the Web (FOTW)</u>	<p>Free Department of Education software that provides financial aid offices, libraries, and students with easy online access to the Free Application for Federal Student Aid (FAFSA), as well as FAFSA Renewal and FAFSA Corrections. The FAFSA4caster software is also available through a link on the FOTW Web site at fafsa.gov. FOTW is designed to work with most operating systems, in conjunction with commercially available browser software.</p>
<u>FAFSA4caster</u>	<p>An estimation tool that students and parents can use to receive an early eligibility estimate for federal student aid. The tool provides users with an opportunity to increase their knowledge of the financial aid process, become familiar with the various types of federal student aid that are available, and investigate other aid sources, such as grants and scholarships.</p>
<u>FEBI</u>	<p>An acronym for “Front-End Business Integration.” The term “Front-End” refers to the initial activities involved in the federal loans and grants administered by the Department of Education (ED). ED had integrated all these activities and contracts into one contract (the FEBI Operations contract).</p>
<u>FEBI Operations contract</u>	<p>A federal contract for data processing services related to delivering federal financial assistance to students</p>

<u>Key Term</u>	Definition
	<p>pursuing postsecondary education. The contract is held by Vangent and includes the following main components:</p> <p>Data Capture (scanning and data capture of all paper documents associated with Pell Grants);</p> <p>Customer Interaction (customer service);</p> <p>The legacy programs CPS, FSAIC, and Editorial Services, which continue to operate as they did under their old contracts, which were also held by Vangent; and</p> <p>Print Fulfillment (all AEDS Operations printing).</p>
<u>Federal School Code (FSC)</u>	<p>A number assigned by the Department of Education to a school. The format is Xnnnnn where X can be 0 (zero), B, E, or G and nnnnn is numeric. This code is entered into an applicant's record when the school is listed on the student's FAFSA. Only four codes can be entered on the paper FAFSA and Student Aid Report corrections, but FAFSA on the Web allows ten. Therefore, a student's record can have up to ten Federal School Codes listed. For an EDE-participating school to receive the student's full ISIR record, the school's Federal School Code must appear on the applicant's record.</p>
<u>Federal School Code Table</u>	<p>A computer table of schools eligible for Title IV aid. CPS programs automatically update the table on a daily basis and transmit an updated Federal School Code (FSC) file to Participation Management staff and ACS, the Image and Data Capture (IDC) subcontractor. The CPS Web accesses the FSC Table directly.</p>
<u>Federal Student Aid Information Center (FSAIC)</u>	<p>FSAIC personnel answer telephone calls concerning federal financial assistance for postsecondary students. The calls can come from students, Financial Aid Administrators, and other interested parties. FSAIC is managed outside the AEDS contract.</p>
<u>File Transfer Protocol (FTP)</u>	<p>FTP is an application protocol that uses the Internet's TCP/IP protocols. It is the simplest way to exchange files between computers on the Internet. FTP is commonly used to transfer Web page files from their creator to the</p>

<u>Key Term</u>	Definition
	computer that acts as their server for everyone on the Internet. It's also commonly used to download programs and other files from other servers to a computer.
<u>Financial Aid Administrator (FAA)</u>	A college or university official responsible for administering student aid programs on a campus.
<u>Free Application for Federal Student Aid (FAFSA)</u>	The Title IV aid application form developed and distributed by the Department of Education. Over 95 percent of FAFSAs are submitted to CPS processing electronically or through the Web. Also, the Image and Data Capture (IDC) processor scans, key-verifies, and transmits data from paper FAFSAs to the CPS. FAFSA data is passed through CPS processing, which determines Title IV aid eligibility.
<u>Image and Data Capture (IDC)</u>	The CPS is responsible for receiving, tracking, and editing application, correction, and signature data scanned and key-verified from paper FAFSAs and related documents. Affiliated Computer Services (ACS), a CPS Image and Data Capture (IDC) subcontractor performs these functions at its processing facility in Mt. Vernon, Illinois.
<u>Image Storage and Retrieval</u>	All FAFSA paper source document images are transmitted electronically along with the corresponding data from the IDC document scanning and key entry site to the CPS. Once the images are successfully transmitted, they are stored on optical disk and are available for viewing through the CPS Inquiry System.
<u>Institutional Student Information Record (ISIR)</u>	<p>The electronic counterpart to the paper SAR sent to students. ISIRs provide the results of FAFSA application or correction processing at the CPS. They are transmitted to EDE destination points and can be used by schools to authorize payment of Federal Pell Grants and other Title IV aid.</p> <p>The CPS generally produces two types of ISIR:</p> <p>Daily ISIR</p> <p>In the EDE, one-way automatic transmission of formatted Institutional Student Information Record data to schools, third-party servicers, and state agencies. The</p>

<u>Key Term</u>	Definition
	CPS transmits daily ISIRs after each compute.
	Pushed ISIR
	System-generated ISIRs resulting from CPS reprocessing, DHS automated secondary confirmation, NSLDS Post-screening, or a DOD match.
<u>Internal Revenue Service (IRS)</u>	An agency of the federal government responsible for handling tax collection.
<u>IRS Data Retrieval Tool</u>	This option is presented to eligible students and parents in FAFSA on the Web. It enables the user to connect to an IRS Web site and transfer tax information from the IRS into a FAFSA or FAFSA correction.
<u>ISIR Data Mart</u>	<p>The ISIR Data Mart is a copy of transaction data specifically structured for querying and reporting. The data mart contains all CPS transactions going back to the 2006-2007 processing cycle. This data can be retrieved by or distributed to schools, state agencies, and other authorized users.</p> <p>All transactions generated by CPS Compute will be stored in the ISIR Data Mart. Updates will be made after every compute run (daily). All data stored, including NSLDS data, will be transaction-specific.</p>
<u>MIS/OLAP</u>	The CPS subsystem that has replaced the Management Information System (MIS) subsystem in the CPS system hierarchy. MIS/OLAP reports are stored on an Internet server and are accessed via Business Objects, an OLAP tool. On a regular basis, MIS data and counts are loaded to OLAP databases. Three reports are still accessed through TSO.
<u>National Student Loan Data System (NSLDS)</u>	This federal system is a national database of loan level information on Title IV student financial assistance programs. The NSLDS acts as a repository of past and ongoing loan data. The CPS performs a match of applicant data with the NSLDS database to determine if students are in default on Title IV loans.
<u>Online Analytical Processing</u>	A series of online reports that inform Federal Student

<u>Key Term</u>	Definition
<u>(OLAP)</u>	Aid and CPS staff of the status of the CPS. The system can also be queried and has replaced the old MIS system for online viewing of CPS reports and queries.
<u>Participation Management (PM) System</u>	The Participation Management (PM) System allows Organizations to enroll for services to securely exchange batch data via the Student Aid Internet Gateway (SAIG) and to enroll for access to the CPS Financial Aid Administrator (FAA) Access and the Fiscal Operations Report and Application to Participate (FISAP) online systems through an authentication process.
<u>Perot</u>	The company that operates the Virtual Data Center (VDC) located in Plano, TX. The CPS database resides in the VDC.
<u>Postsecondary Education Participants System</u>	This system, usually referred to as “PEPS,” provides the CPS with Title IV aid information used in the Federal School Code Table.
<u>Privacy Act of 1974</u>	Federal law that ensures the confidentiality of information gathered from individuals in association with such governmental programs as the Federal Pell Grant Program.
<u>R2T4</u>	A product of Federal Student Aid (FSA) used by FAAs to calculate the earned and unearned portions of Title IV student aid when a student withdraws from a postsecondary institution before completing the period for which the student was paid. An FAA may also use this Web site to track required notifications to the Title IV recipient and to track the recipient’s responses.
<u>SAR Acknowledgement</u>	A non-correctable one-page paper SAR information summary sent to the student after successful processing of his or her electronic FAFSA or FAFSA correction. The acknowledgement is only sent if the student does not have an e-mail address that meets CPS specifications.
<u>Signature Page</u>	If a student chooses not to sign the online FAFSA electronically, he or she (and at least one parent if the student is determined to be a dependent student) can

<u>Key Term</u>	Definition
	<p>sign a paper signature page. For FAFSA Corrections, a signature page from one of the student's parents is necessary only if parental data is provided or altered.</p> <p>After the signature page is printed and signed, it must be mailed to the CPS for processing. FAFSA data transmitted electronically is stored in a hold table pending receipt of the signature page.</p>
<u>SSA</u>	Social Security Administration. The CPS conducts several matches with the SSA database to determine the validity of student and parent Social Security Numbers, as well as the student's citizenship status.
<u>Student Aid Internet Gateway (SAIG)</u>	A secure, Internet-based network that provides links to the resources of various Title IV Application System databases and processing services, such as NSLDS and CPS. The CPS uses the SAIG to transmit electronic data to Title IV-eligible postsecondary schools, third-party servicers, state agencies, lenders, and guarantors. EDE participants receive and manage ISIRs through the SAIG. Third-party servicers and schools using their own software also use the SAIG to transmit FAFSA data to the CPS for processing.
<u>Student Aid Report (SAR)</u>	<p>A form generated by the CPS in response to the processing of Title IV aid applications. The SAR:</p> <p>Informs applicants of their eligibility or ineligibility for Title IV aid,</p> <p>Assigns an Expected Family Contribution (EFC) that determines Title IV aid eligibility,</p> <p>Provides forms that applicants can use to correct or review information submitted on their applications, and</p> <p>Serves as a means by which a student's school can request payment.</p>
<u>Title IV</u>	Title IV of the Higher Education Act, authorizing federal student financial assistance programs that include the Federal Pell Grant Program and the Stafford Loan Program, among others.

<u>Key Term</u>	Definition
<u>Title IV Programs</u>	In 1965, Congress passed the Higher Education Act. Under Title IV of this law, several federal student financial aid programs were established. These programs and others authorized since are generally referred to as "Title IV programs."
<u>Vangent, Inc. aka General Dynamics (GDIT)</u>	The company that procured the FBI Operations contract, which includes the CPS, FSAIC, Editorial Services, and FBI Operations Print Fulfillment legacy programs. These legacy programs continue to operate as they did under their respective old contracts (also held by Vangent). The contract to operate and maintain the Student Aid Internet Gateway is also held by this company. Note: Vangent was acquired by GDIT in 2011.
<u>Verification</u>	The process by which Title IV aid applicants must prove that information provided on the application is accurate and true.
<u>Virtual Data Center (VDC)</u>	A Perot Systems Corporation computer operations center in Plano, Texas, where the CPS data resides and where most CPS computer processing occurs.